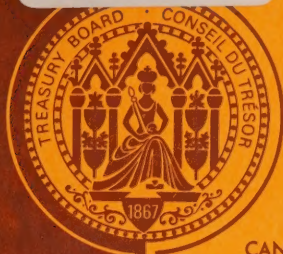


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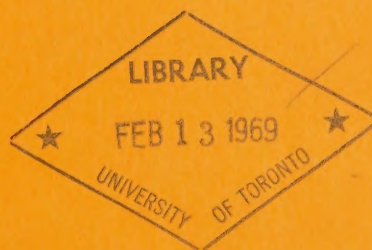
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CANADA

No. 2

RECORDS SCHEDULING and DISPOSAL



Paperwork Management Series

TREASURY BOARD, OTTAWA, CANADA

October, 1968

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**RECORDS SCHEDULING
and
DISPOSAL**

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INTRODUCTION

1. EVOLUTION OF RECORDS SCHEDULING IN CANADA UP TO 1945

(1) In the last decade of the nineteenth century, the first signs of official interest and concern with the problem of the increasing accumulation of the public records became evident. Order in Council P.C. 486 of 4 March, 1897, appointed the Deputy Minister of Finance, the Auditor General and the Under Secretary of State as a Commission to report to the Treasury Board:

“with a view to the periodical destruction of such papers and vouchers as may be deemed useless, and which are merely encumbering the vaults.”

Some years earlier an initial step had been taken to deal with the matter of the public records but no action had resulted. However, a fire in the West Block of the Parliament Buildings prompted this renewed interest in 1897. The main recommendations of this commission were for the erection of a fireproof Records Office and for the appointment of inspectors to examine all records prior to destruction.

(2) Another Royal Commission was appointed in 1912 “to inquire into the state of the records of the Public Departments of the Dominion of Canada.” The report of this commission included more or less the same recommendations and suggested that:

“a copy of the said report be communicated to each Deputy Minister with instructions to use every possible precaution to safeguard the valuable public records until such time as a Public Records Office can be established.”

There was an additional recommendation of significance in the report where it was proposed that:

“The authority of the Treasury Board should be sought for the destruction of all such documents as competent authority may consider useless.”

(3) The work of this Royal Commission was not concluded until May, 1914, and the advent of World War I delayed any action for several years. It is of interest to note that one member of the commission was the Dominion Archivist of that time, Dr. A.G. Doughty.

(4) It was not until February, 1933, that the Treasury Board took the first concerted action in the area of records disposition. The Board circularized all departments as to their views on what departmental documents should be destroyed and after what length of time. As a result, Treasury Board Minute T.B.160481 of June 2, 1936, was passed authorizing destruction of specific classes of documents by departments under certain restrictions. Later, in 1944, this authority was amended to meet the wartime conditions of World War II by Treasury Board Minute T.B.260350 dated 16 March, 1944. Clause 5 of these regulations was of major importance and stated that:

“Documents of general historical value shall be retained indefinitely. With the object of ascertaining such value, the Dominion Archivist shall be notified by the Department concerned of the intention to destroy certain classes of documents and, unless he submits a written objection (stating his reasons from the historical viewpoint) within a period of six months, the Department may proceed to destroy such classes of documents. If objection is taken, and the Department is not content to accept the view of the Dominion Archivist, the record shall be referred for the decision of the Treasury Board.”

(5) Despite the steps outlined above, directed towards uniformity and conformity, the procedures were not always followed by departments. In some instances public records were being destroyed under

departmental authority alone. Action of this nature was taken without obtaining the approval of the Treasury Board and without consulting with the Dominion Archivist as to possible historical content in the records destroyed.

2. THE PUBLIC RECORDS COMMITTEE OF 1945

(1) An Advisory Committee on Public Records was formed in 1944 at the request of the Prime Minister. As a result of the work of this committee, Order in Council P.C. 6175, 20 September, 1945, established the Public Records Committee.

(2) This committee gradually succeeded in co-ordinating and controlling the procedural steps and operational methods of disposing of public records. Whereas the emphasis of the earlier years had been placed on the need to destroy useless records, the scrutiny of submissions to destroy records forwarded for the consideration of the committee turned towards the preservation of valuable records. This change is clearly shown in the Order in Council which established the committee in the phrase:

“that the policies of government in respect to disposition of public records be carried out so as to ensure that material of permanent value be not unwittingly destroyed will rest with departments and agencies of government concerned.”

(3) Order in Council P.C. 6175 was revoked by the later Order in Council P.C. 1961-212 of 16 February, 1961. The main points of this document were that the Public Records Committee Secretariat was now provided by the Public Archives of Canada, that the procedural steps for obtaining authority to destroy records were simplified but reiterated, and that the stress on the preservation of valuable records was mentioned once again in the direction that:

“Departments and agencies should, where practicable, schedule their records for retirement and eventual destruction or *long-term retention*.”

This order also covered the matter of the microfilming of records which had become a major system whereby large accommodation areas could be released but which did not attack the true issue of records disposal scheduling as a really efficient records management technique.

3. SCHEDULE OF RECORDS, 1957

(1) In 1956, a special committee of the Records Management Association was formed to produce a records schedule covering topics which could be considered common to all departments and agencies. This committee reported back to the Public Records Committee through the medium of a small pamphlet.

(2) This pamphlet, titled “Schedule of Records Common to Departments and Agencies — Suggested Periods of Retention”, was published for the Public Records Committee by the Public Archives of Canada in 1957. It may be regarded as the first records schedule of the Government of Canada but there was one major distinction in comparison with the later “General Records Disposal Schedules of the Government of Canada”. This was in the fore-note which read in part:

“This is not an authority for destruction but a guide for organizing disposal programmes. Authority for the disposal of records must still be obtained from the Public Records Committee and the Treasury Board.”

4. RECORDS MANAGEMENT SURVEY OF 1959

(1) At the October, 1958, meeting of the Public Records Committee, a committee was appointed to secure from departments and agencies certain data that were essential for the long-term planning of a records management program. In its terms of reference, one directive given to the committee was to make recommendations towards “a reduction in the bulk of dead and dormant records by systematic disposal and transfer of records from active working areas, and the safeguarding of permanent records.”

(2) In the area of records scheduling, the committee made important recommendations and these included:

- (a) that departments be encouraged to schedule their records;
- (b) that a central body be designated to advise and help departments with scheduling; and
- (c) that the Dominion Archivist be vested with the authority to investigate departmental records holdings and to make recommendations concerning their disposition to the departments and to the Public Records Committee.

5. GLASSCO COMMISSION REPORT OF 1962

In Part 4 of Volume I of the report of the Royal Commission on Government Organization, these recommendations were endorsed at page 516:

“We therefore recommend that: The allocation of responsibility for public records and the establishment of rules for their disposal be governed by legislation.”

At page 555, the commission also observed that:

“The destruction of useless records, the removal of inactive records from office space, and the use of sound filing practices, could bring annual savings of over \$3,000,000.”

6. GENERAL RECORDS DISPOSAL SCHEDULES OF THE GOVERNMENT OF CANADA, 1963

(1) During the years of 1961 to 1963, the preparatory work which resulted in the “General Records Disposal Schedules of the Government of Canada, 1963” was done by the Public Records Committee Secretariat. This manual covered records considered common to all departments and agencies and now termed as “housekeeping records”.

(2) This publication was an immense expansion of the first original schedule of 1957. It was endorsed by the Public Records Committee and officially authorized by Treasury Board Minute T.B.615320 of September 11, 1963. The important difference between the two documents was that the manual of 1963 granted disposal authority for the records without further reference to the Public Records Committee while the 1957 pamphlet was merely a guide and granted no authority.

7. PUBLIC RECORDS ORDER P.C. 1966-1749 (See Appendix “A”)

The recommendation of the report of the Royal Commission on Government Organization, cited at paragraph 5 above, was implemented by the passage of Order in Council P.C. 1966-1749. It delineates the responsibilities in records management between the Treasury Board, the Public Archives of Canada and the departments. Included in this Order, the matter of the safeguarding of historical public records is laid down while the question of records scheduling and disposal is covered by sections:

- “7(d) issue general schedules regarding the retention and disposal of records common to most departments (i.e. housekeeping records); and
- “7(f) establish standards to assist departments to schedule the retention and disposal of their operational records, and approve or refuse to approve all such schedules; and
- “8(3) No department shall destroy records or permit records to be removed from the ownership of the Government of Canada without the approval of the Dominion Archivist.”

8. SUMMATION

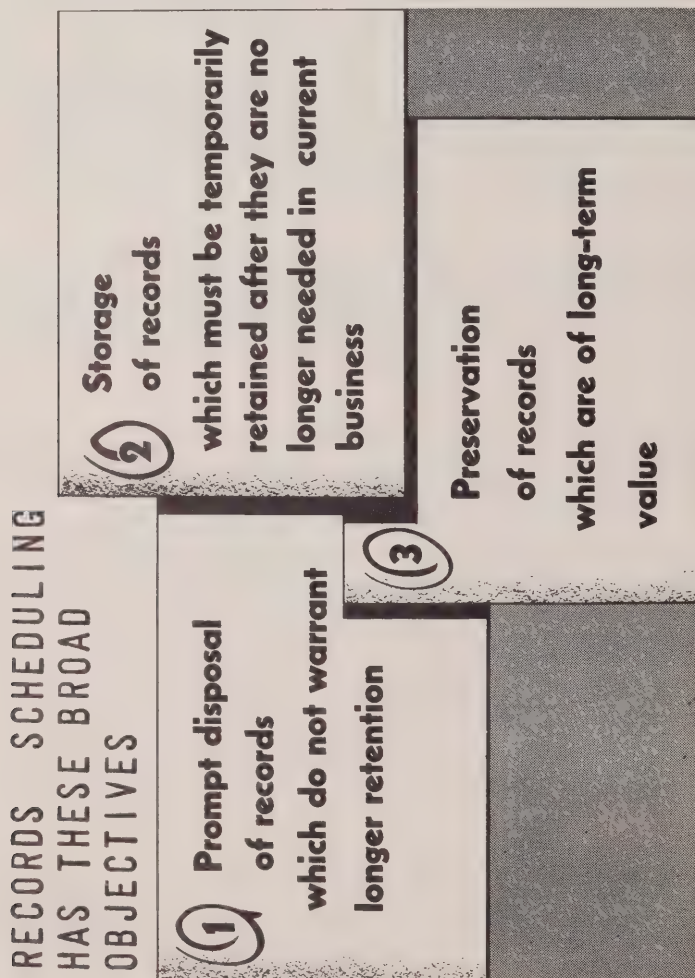
(1) From the above references and extracts, it is revealed that the original objective for records disposal action was only to release space and equipment. As time passed, the more important aspect of the safeguarding and permanent preservation of valuable historical public records came to the fore. At the same time the intent of Section 7 of “An Act Respecting the Public Archives”, R.S.C. 1952, Vol. IV,

Chapter 222, comes into complete focus in that the Dominion Archivist now approves any departmental submission to dispose of any public records and this seems to have been the intent of the paragraph 7(1) of the Act:

“The Governor in Council may order and direct that any public records, documents or other historical material of any kind, nature, or description shall be taken from the custody of any department of the Government having the control thereof and removed to the Archives Building in the City of Ottawa established for the purpose of containing such records, documents and material and placed under the care, custody and control of the Dominion Archivist.”

(2) The problem of the mere physical volume of the public records requires to be resolved by the solution of authorizing physical disposal so that a selective historical-archival portion may be preserved. The technique for arriving at this selection is through the application of proper records scheduling and disposal of the worthless documentation, concurrent with the selective retention of the valuable records for permanent preservation in the Public Archives of Canada.

PLATE I



PROPERLY APPLIED
RECORDS SCHEDULING
WILL RESULT IN....

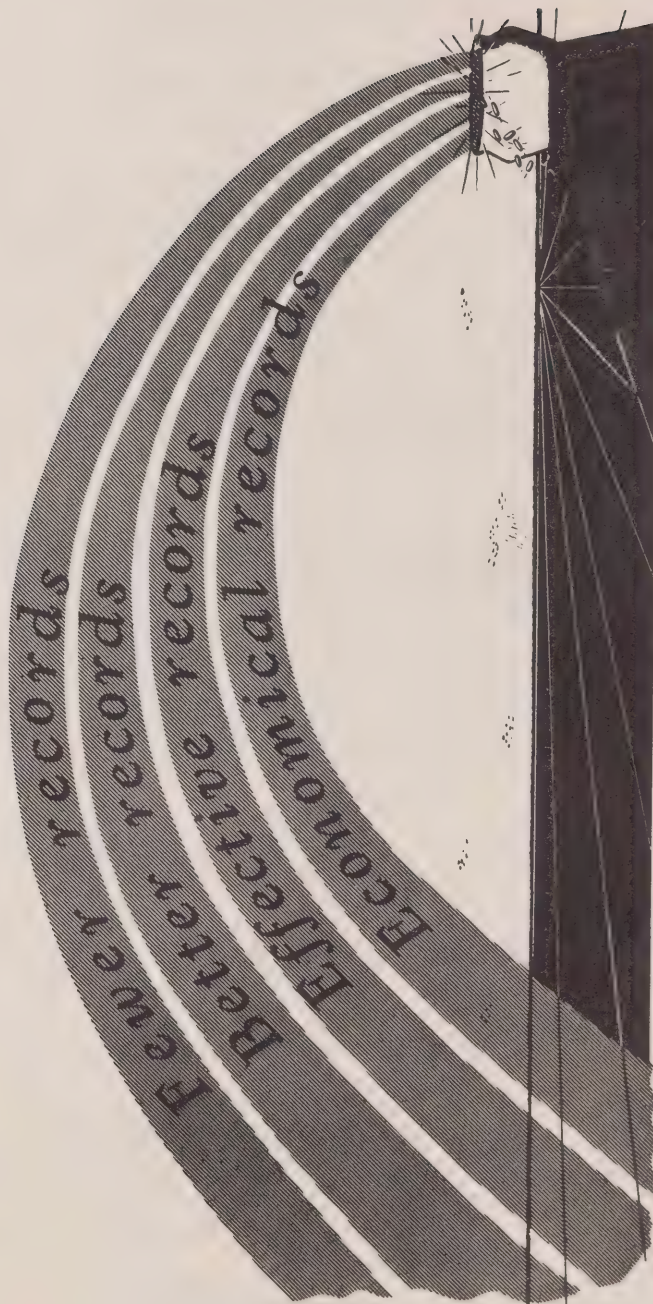


PLATE II

SECTION I

THE OBJECTIVE

1. PURPOSE OF THIS HANDBOOK

(1) The Public Records Committee's Records Management Survey of 1959, the report of the Glassco Commission, and a 1967 Public Archives of Canada survey revealed that there exists a vast accumulation of public records. The retention and servicing of these records require the expenditure of large sums of money in the form of staff, space and equipment.

(2) While these surveys provide various types of statistics, the significant point is that annually an average 250,000 cubic feet of records are created which require some 30,000 filing cabinets (or their equivalent) occupying almost 180,000 square feet of space. It is obvious, therefore, that if the bulk of records can be reduced, major economies can be achieved in the three areas of equipment, space and salaries. In addition, with such a bulk of records on hand, the task of records personnel in identifying and locating important records is made more difficult, and this factor also adds to the overall costs.

(3) Accordingly, the purpose of this handbook is:

- (a) to provide techniques for organizing a records scheduling program by departments and agencies;
- (b) to explain the criteria by which the values of records may be competently determined;
- (c) to provide a central source of information and of guidelines whereby the scheduling of departmental records may be implemented;
- (d) to be a reference book for the Records Manager of departments and agencies, for the guidance of his records disposal staff, and for others who have a responsibility of any kind with respect to this phase of proper records management; and
- (e) generally to meet the requirement of the appropriate sections of the Public Records Order.

2. DEFINITIONS FOR THIS HANDBOOK

(1) Hereafter, the word "*Department*" includes "*Agency*", as appropriate.

(2) *A Records Schedule* is:

- (a) a TIME TABLE which plans the life of a record from the time of its creation through its maintenance stages as:
 - (i) an ACTIVE record,
 - (ii) A DORMANT record, either within a department or in a records centre, to its final disposition, either as:
 - (iii) waste, or
 - (iv) a permanent record for transfer to the Public Archives of Canada; and
- (b) as a collective term, a set or sets of such TIME TABLES arranged or consolidated together.

(3) An example of *one entry* in a Records Schedule would be:

"HISTORICAL MATTERS

Records outlining the growth
and activities of departments

5 years A-2, D-3
Transfer to the
Public Archives",

where the record as described would have an ACTIVE life of 2 years, with a DORMANT life of 3 years in a storage area, and the final disposition after the total retention period of 5 years would be permanent retention in the Public Archives of Canada.

(4) An *Active Record* is a record which is required constantly for current use and must be maintained in office space and equipment. Normally, active records may be divided into two large categories:

- (a) subject correspondence — this entails a variety of informational data which should be considered active for a period not in excess of two years; and
- (b) case records — these include contracts, projects, accidents and other individual events which come to a definite conclusion and which should not be considered active for a period in excess of one year after the termination of the event.

(5) A *Dormant Record* is a record which is not used at a rate higher than one inquiry per cubic foot per month. The term applies to both subject correspondence and case records but does not necessarily include a closed volume of an active record.

(6) A *Records Centre* is an office of the Public Archives of Canada which has been established for the purpose of storing and servicing economically a large volume of public records and of providing advice on records management.

3. IMPORTANCE OF RECORDS SCHEDULING

(1) Large accumulations of records reflect inadequate management both on the part of the Records Manager immediately responsible and on the part of departmental administration as a whole. Some types of records require only one reading or action before disposal; other types should be retained for short periods of time; a proportion will warrant retention for longer periods; and a selected few must be kept permanently.

(2) An efficient well-planned uniform subject classification system within a department is the primary essential element for the economical administration of the records. A final but equally essential element is a comprehensive and continually active scheduling program. While too little retention of the records can be hazardous, too much will prove expensive in:

- (a) staff;
- (b) time;
- (c) space; and
- (d) equipment.

(3) Unorganized reduction of the paper volume of records by a “screening”, “stripping” or “weeding out” process is time-consuming and costly. The result will be an uneven or an incomplete selective retention and the value of this residue will rarely compensate for the cost of arriving at the haphazard outcome.

(4) A scheduled disposal system is the most satisfactory method for controlling the accumulation of records. This system involves various changes in the existence of the records and the objectives of such changes are:

- (a) to provide economical storage for dormant records;
- (b) to dispose of the obsolete and useless records; and
- (c) to identify and preserve the important and valuable records.

(5) When a records schedule does not exist or has not been applied, there is a danger that some unforeseen disaster may occur with unfortunate consequences. If the records had been properly scheduled, they might have been preserved because they had been transferred to a records centre for their dormant storage period or to the Public Archives of Canada for their historical value. Plates III, IV and V are visual evidence of what may happen.

4. PRESERVATION OF VALUABLE RECORDS

(1) While a records schedule is concerned with the time periods and the storage locations of records, it must not be forgotten that it is useful for other reasons. The most important of these is that it is the means whereby valuable records are identified and freed for preservation.

(2) This fact merits reiteration and the total concept may be covered in the following statement:

A RECORDS SCHEDULE IS JUST AS MUCH CONCERNED WITH THE RETENTION OF A VALUABLE RECORD AS IT IS CONCERNED WITH THE DESTRUCTION OF WORTHLESS MATERIAL.

PLATE III

"IT CAN'T HAPPEN HERE – BUT IT DID ! ”

(These were Government records)

WATER FLOOD DAMAGE TO RECORDS STORED IN A BASEMENT AREA

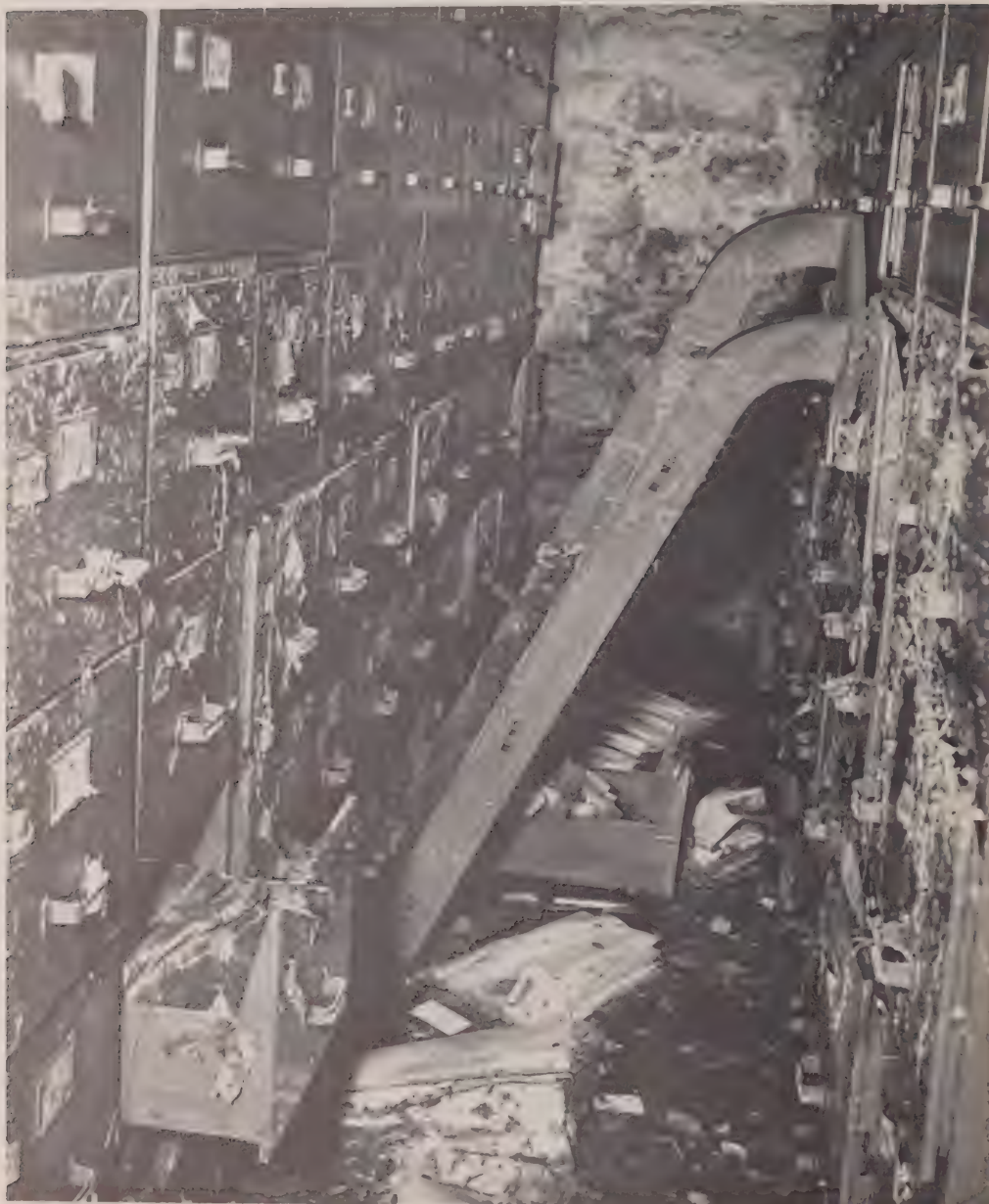


PHOTO BY PUBLIC ARCHIVES OF CANADA – OTTAWA

WATER FLOOD DAMAGE TO RECORDS STORED IN A BASEMENT AREA
(These were Government records)

PLATE IV



PHOTO BY PUBLIC ARCHIVES OF CANADA — OTTAWA

PLATE V

GOVERNMENT RECORDS STORED IN BASEMENT AREA - NO FLOOD



PHOTO BY PUBLIC ARCHIVES OF CANADA - OTTAWA

SECTION 2

THE FOUNDATION

1. KNOWLEDGE OF THE ORGANIZATION

(1) The Records Manager must approach the task of producing a records schedule for his department by preparing himself thoroughly for the project. If he is not already completely familiar with the aims, functions and activities of the organization through years of previous experience, then he must become so by studying the act or acts which it administers and the statutory orders and regulations which it has promulgated under this authority. This background must then be supplemented by an intimate acquaintance with the organizational structure of the department and the procedures of the various branches and divisions.

(2) In addition, he must be aware of the interplay and general responsibilities of the central service agencies as they affect or reflect on the activities of his own department. Such agencies would include the Comptroller of the Treasury, the Public Service Commission, the Public Works Department, the Department of Defence Production and others. Such knowledge will reveal any areas of overlapping in responsibilities or activities and a consequent probable overlapping in relative records creation or holdings.

2. KNOWLEDGE OF THE RECORDS

(1) Having acquired a knowledge of the operations of his department, the Records Manager must then have or acquire a comprehensive understanding of the department's records. This will include not only the current records but also both the nature of the older records which have been produced many years before and the probable nature of records which may be produced in the future.

(2) Another important ingredient of a solid foundation is technical competence in all phases of records management. This may have been gained from many years of experience in the first instance. However, even past experience must be kept fresh by participation in training courses, conferences, and by the maintenance of current trends through continual reading on the subject.

3. KNOWLEDGE OF SUBJECT CLASSIFICATION

(1) The Records Manager must be skilled in subject classification techniques. At paragraph 3(2) of Section I, it was stated that the primary essential element in records management was a well-planned uniform subject classification system. With such an excellent tool at hand, the task of preparing a records schedule is made easier.

(2) It is necessary that the subject classification system lend itself to logical records scheduling. A good system will permit the separation of policy records from the routine records. In many instances, it is desirable to create both a policy and routine (general) file or a supporting series of routine files on a topic. This will enable the routine material to be disposed of easily without excessive review or re-arrangement during the scheduling process. At the same time, records of informational data content and importance will become more accessible for preservation.

(3) Further, a good system will group related subjects and this will then aid in identifying the types of records to be recommended for destruction or retention. For major subject groups which have broad application to large volumes of records such as "Accommodation" or "Equipment", a simple but very effective coding system should have been established. This will permit quick separation of papers into

unique files for various field offices or other segregations for such subjects. In consequence, it will provide a means for an equally quick disposal of readily identifiable records.

(4) Another device is the use of the cut-off or break-off technique. This is the procedure of closing out a file at the occurrence of some time period or event. Examples of this are break-offs at the end of a calendar year or a fiscal year, or the completion of a specific project, or the conclusion of a definite event.

4. TOP LEVEL SUPPORT

(1) The Records Manager is not normally in a position at the inception of a records scheduling project to proceed on his own. Somehow, he must secure senior management support. However, if he has made himself thoroughly knowledgeable of the aims, methods and operations of the department, of the content of the records, and has developed a subject classification system which permits the logical organization of the records, he can proceed to make sound proposals for an acceptable records scheduling program.

(2) In his approach to the users of the records — and they are of times also the creators — the Records Manager will now have the confidence of intelligent preparation. His next step is to consult his superiors and the other senior officers of the department with definite procedural proposals. The most important and effective of these would be the establishment of a Departmental Records Committee.

5. DEPARTMENTAL RECORDS COMMITTEE

(1) If such a committee already exists, then this hurdle does not need to be met. If a Departmental Records Committee does not exist, then its establishment will be justified in any event. It will become the medium to deal with all the phases of records management applicable to the department.

(2) The committee should be composed of senior representatives of the major branches or divisions of the department with the Records Manager being the chairman or the secretary. Its members should be conversant with the overall objectives of good records management and qualified to support sound and logical programs.

(3) While the committee should be representative of the branches or divisions, standing membership should be maintained from the Administration, Finance and Legal offices. In addition, when the records of some other office are being discussed, then that office must be represented at the meeting. The committee must be of such a nature that it will deal effectively and promptly with the business at hand, but its composition must not be allowed to become unwieldy.

(4) The Records Manager must be technically prepared to discuss his proposals. He will be required to prepare agenda, arrange meetings, steer and advise the committee, and produce the minutes. Thereafter, he will be required to implement the decisions of the committee.

RECORDS SCHEDULING is a Plan to ...

MOVE RECORDS OUT

of high cost office space
and equipment ...

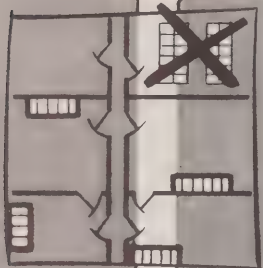


to make FILING AND FINDING ...

EASIER, FASTER, BETTER

A RECORDS SCHEDULING PROGRAM

saves



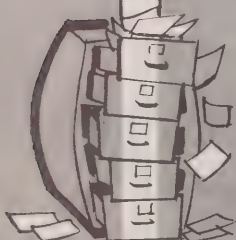
SPACE

Records no longer necessary to daily operations are removed from the office.



TIME

Clerks find records faster that are not mixed with inactive records.



EQUIPMENT

Cabinets are not purchased because inactive records are removed from those on hand.



RECORDS

Those of enduring worth are identified and preserved.

SECTION 3

THE CONSTRUCTION

1. PREPARE AN INVENTORY

(1) In a well organized records office there is normally a method whereby the records in the form of files are listed showing the file numbers and the file subjects evolved in a systematic manner from a subject classification guide. The mechanical means may be through the use of "index cards" housed in an "index cabinet", or it may be organized through the use of linedex strips mounted on linedex panels. Whatever method is used, it shows a listing by number and subject of all the files created for the official use of the department. In effect, this is a numerical index control, and it is relative to the subject classification system in use.

(2) This numerical index control constitutes a listing of the records and, while it may be considered as an inventory of the total records holdings of the official departmental files, it may not be necessarily suitable as an inventory for records scheduling purposes. However, where the subject classification is of superior quality and construction, then it is likely that the listings of file numbers and file subjects will be easily convertible into records scheduling inventories.

(3) On the other hand, as the records scheduling inventories are being compiled and tentative evaluations are being made, it will become clearly evident whether the subject classification system is adequate or whether it is obviously ill-conceived. Often it will be discovered that one group of file subjects contains material which may be disposed of readily but at the same time the group contains other material which must be retained for a longer period or even permanently as historical data. Or the situation may be in reverse in that a group should be retained evidently for a long period of time but it is cluttered up with other matter of little value.

(4) Thus, the records scheduling project may lead to the revelation that the subject classification scheme requires adjustment, minor repair or even a major overhaul. This should not be regarded with too much dismay but should be thought of as a supplementary benefit. If the scheduling exercise had not been initiated, the situation may not have come to light so obviously.

(5) Not only must an inventory of the records under control of the records office be made, but inventories should also be compiled of all departmental records which may not be under its control. This is a first step by which such non-controlled records can be taken under proper control and custody.

2. DETAILS OF AN INVENTORY

(1) Whatever the basis from which the inventory is to be compiled, there are several additional informational data which must be included in the compilation over and above the bare listing of file numbers and file subjects. For the purpose of illustrating all the desirable components of an adequate set of inventories, the sample inventory pro forma used by the Public Archives of Canada will be examined in detail.

(2) *Departmental Inventory Number:* in a sense this is a file number in a series. A large department will find it necessary to prepare a number of inventories to cover all its records holdings. Therefore, it is an easy means of identification for discussion both by long range telephone communication or during actual on-the-spot discussion or examination.

(3) *Department:* at first glance this entry may seem redundant. It is for identification of the department which prepares the inventory and which is therefore responsible for it. But the department may not have

PLATE VIII

DEPARTMENTAL RECORDS INVENTORY
(AUTHORIZED BY P.C. 1966-1749)
PLEASE READ INSTRUCTIONS ON REVERSE*

DEPARTMENTAL
INVENTORY NO.

DEPARTMENT

RECORDS LOCATED AT	ROOM NO.	BUILDING	STREET ADDRESS			CITY
OFFICE SPACE	GOOD	POOR	STORAGE SPACE	GOOD	POOR	VOLUME OF RECORDS (IN CUBIC FEET)
TYPE OF STORAGE AND INDEXING EQUIPMENT (STATE NO. USED)		FILING CABINETS	SHELVING	INDEX DRAWERS	OTHER (SPECIFY)	
			LIN. FT.		CU. FT.	CU. FT.

USER DIVISIONS

				NO. OF REFERENCES (PER MONTH)	
ARE THESE RECORDS CONTROLLED BY THE DEPARTMENTAL REGISTRY?	YES	NO	IF NO, INDICATE CONTROLLING DIVISION		
ARE THESE RECORDS DUPLICATED ELSEWHERE EITHER WITHIN OR OUTSIDE THE DEPARTMENT?	YES	NO	IF YES, WHERE?		
PERCENTAGE OF RECORDS SCHEDULED	%	LIST ANY EXISTING DISPOSAL AUTHORITIES			

SUGGESTED RETENTION PERIOD IF NOT SCHEDULED

DATE COMPILED	COMPILED BY (NAME, TITLE, PHONE NO.)
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DESCRIPTION OF RECORDS

(PLEASE PROVIDE ALL PERTINENT INFORMATION, USE EXTRA SHEET IF NECESSARY)

NAME OF CREATING DEPARTMENT, BRANCH, DIVISION OR OTHER.

DATING FROM (YEAR)	IN THE PHYSICAL FORM OF (FILES-MAPS-MICROFILM-OTHER)(SPECIFY)
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ARRANGED BY (SUBJECT - NAME - CONTRACT NO. - OTHER)(SPECIFY)

RELATING TO (DESCRIBE MAJOR SUBJECTS, FUNCTIONS ETC.)

DO NOT WRITE IN THIS SPACE

ARC 173-1965

*Not shown here

been the same department which originally created the records. On many occasions and very frequently in recent years departments have been re-organized and components of different departments have come together to form new government organizations. Undoubtedly this trend will continue in the future.

(4) *Records Location*: the specific location of each inventory group of records should be shown. This information will prove useful internally since the records of a department could be located at several different points in Ottawa or in one of the department's field offices.

(5) *Office Space*: as the total inventory builds up, this information will reveal whether superior office space is being misused and whether the optimum use of suitable space is being achieved.

(6) *Volume*: this will be the volume of the records expressed in cubic feet. This is the proper standard of measurement for use in records volume computation. There are many types of records containers of varying sizes and capacities, but one cubic foot is always one cubic foot. Normally, one file drawer should contain about two cubic feet of ACTIVE records. For DORMANT records the capacity of a file drawer can be stretched to two and one-half cubic feet.

(7) *Type of Storage and Index Equipment*: a complete assessment must be made. In relation to paragraph (6), there will be an acceptable balance between the volume and the number of file cabinets or the shelving capacity.

(8) *User Divisions*: the completion of this item may reveal some interesting and surprising facts. One division may have created the records and used them for a certain time. Then this activity may cease but some other division may continue to use the records and perhaps create additional records of the same category. Inversely, the records may have fallen into disuse as shown by paragraph (9).

(9) *Number of References per Month*: this information is especially useful in determining the activity of the records. In consequence, a decision will be effected whether the records should be stored in the active area, transferred to dormant storage or, ultimately, whether they should be or need be retained at all.

(10) *Are These Records Controlled?* : if they are not under the control of the records office, the mere posing of this question may elicit the fact that they should be and that there is no opposition to this control in any event.

(11) *Are These Records Duplicated Elsewhere?* : this is one of the questions which arise in considering any one of the administrative, legal, fiscal or informational data values in records. It contributes to a decision of what retention periods to assign to these specific duplicate records.

(12) *Percentage of Records Scheduled*: where a records schedule is being developed, the answer will be "NONE! " However, some percentage may have been scheduled on a previous occasion. The answer may be given by volume of the total group-holding or by a percentage of the actual number of the records concerned.

(13) *List Any Existing Disposal Authorities*: the old Treasury Board Minutes T.B.160481 of June 2, 1936, and T.B.260350 of March 16, 1944, are no longer valid and must not be cited. Aside from this restriction, this is a question which may result in some unexpected disclosures. There may exist some previous departmental authority which had been overlooked through disuse or neglect. On the other hand, an authority which had been considered relevant may prove to be misinterpreted for the particular group of records. This could involve the application of the "General Records Disposal Schedules of the Government of Canada" which might have a suitable entry. However, the records being inventoried could be OPERATIONAL to the department while the same entry in the "General Records Disposal Schedules" are for "housekeeping records" and so such authority is not valid.

(14) *Suggested Retention Period*: this emphasizes that an inventory only is being taken and that the stage of submitting a records schedule is still in the future. Examination of the records at this point will provide a good general impression of the value of the records to the department. This on-the-spot impression will prove of immense advantage when in the act of schedule preparation.

(15) *Date Compiled*: this is of more importance than may be supposed. Some types of records lose their value to a department after a short time period or due to some special circumstance, e.g. the cancellation of the radio licence requirement by the public for ownership of a normal receiving set and the effect on the records of the Department of Transport.

(16) *Compiled By*: this has no significance other than for routine checking purposes.

(17) *Description of the Records*: this is the crucial part of the entire project. The Records Manager must become thoroughly familiar with the records to make any appropriate decisions about them. In effect, as the inventory is being taken, a preliminary survey is being made at the same time so that time expended at this juncture is well spent and a good description of the records must be made. This portion of the inventory pro forma has been divided into several parts:

- (a) *Creating Department, Branch, Division* – normally this is the same as the holding or responsible organization. But, as has been stated, changes in a department's responsibilities result in the creating office being different from the holding office in some cases.
- (b) *Dating From (Year)* – preciseness is not required for this information. No time should be wasted in checking every piece of correspondence or every file. Select a group of typical and important files and then determine the outside range of dates and this will suffice.
- (c) *In The Physical Form Of* – the physical form is important. Microfilm takes up little space but requires special equipment. Maps take up more space and also require special equipment. Punched cards require special storage facilities. Tapes require special storage with certain temperature and humidity controls.
- (d) *Arranged By* – the arrangement of the records has significance from the usage point of view. Information should be noted whether the records are arranged in subject file series, in case file series, in alphabetic series or in duplex-numeric, subject-numeric, numeric sequence or other systematic method.
- (e) *Relating To* – full detail must be noted to prevent or avoid the need to back check. For example, "Contracts" would not be enough: they are for what, are they active, are they dormant?, OR a bare entry of "Ships" gives no detail: are the records about ships' logs, movements, maintenance, or physical disposal by sale?

(18) *Instructions*: on the reverse side of the pro forma there are instructions specific to the original use and purpose. These instructions will be an aid in compiling departmental records inventories for internal purposes when constructing the records schedule. (not illustrated)

(19) This style of inventory pro forma may be used for other reasons than that of knowing the total holdings of the departmental records whether or not they are all under the control of the records office. There may arise circumstances where other facts about a set of records are of importance. If this is the case, add the information to the inventory for reference.

(20) It must be stressed that this inventory for records scheduling is not a simple file-by-file listing of each record. That is the function of a numerical index control but this listing can be used as the starting basis for an effective inventory nevertheless.

3. REVIEW EXISTING SCHEDULE AUTHORITIES

- (1) After all the records have been inventoried, the next step in constructing the records schedule is to check for any existing disposal authorities. It is possible that the department may have obtained some former authority for some records disposal which has been overlooked through disuse – see paragraph 2. (13) above. This fact may have been discovered during the taking of the many inventories but, if not, a further exhaustive check should be made.

(2) However, it is necessary to remember that, for the purpose of maintaining an operative program, any such former authorities must be of a continuing nature. An authority which was for an “immediate destruction” is no longer valid for any records other than those to which it originally applied.

(3) Any continuing authorities which come to light should be matched against the various inventories which have now been accumulated. In this way it may be possible to apply them for some of the records inventoried. If more than one office performs a phase of the same function, a schedule based on the records of one of these offices could fit the records of some of the other offices.

(4) Another action which must be taken at this stage is to assess these former authorities for their validity as to the length of the retention periods. Do they meet current requirements? Do they require to be revised because of an excessive retention period or because of some obscurity in the detail or for some other reason?

4. DETERMINATION OF VALUES IN RECORDS – GENERAL

(1) Consideration of the values in the records is the distinctive and essential stage in the construction of a records schedule. Such consideration is the base from which suitable retention periods will be arrived at. While it is difficult to establish precise criteria for the determination of such values, there are some broad approaches which will provide firm, compatible decisions.

(2) The values of government records can be grouped into two distinct classes – *PRIMARY* and *SECONDARY*. Both of these classes may be divided into definite value specifications which will aid in the final determination of appropriate retention and disposal periods to be assigned to the records.

(3) Records in the *primary* class are of essential concern to the originating or proprietary department which created or received the records. This class can be divided into four value specifications:

- (a) Administrative Value;
- (b) Legal Value;
- (c) Fiscal Value; and
- (d) Informational Data Value.

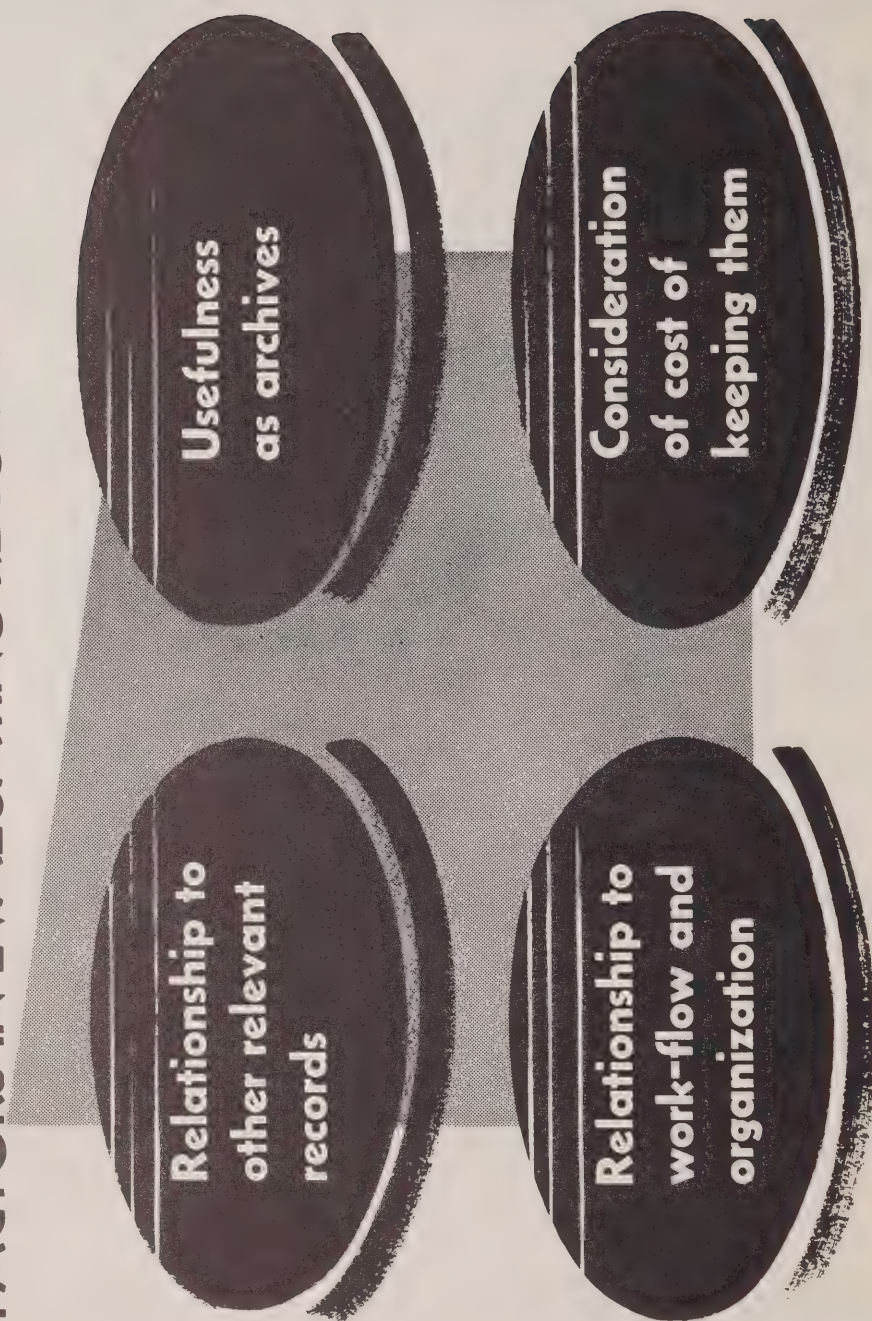
(4) They are necessary to the department in accomplishing its mission and in performing its functions and so must be retained as long as they meet this *primary* purpose. Further, while the records are still in this aspect, it is possible to assess their reference frequency value and thereby determine the appropriate storage facility. The proper dormant storage area should be decided upon as either:

- (a) a small local departmental storage area for an immediate reference retention period of two years or less; or
- (b) a records centre for reference retention periods of over two years and until the final disposition decision and action is taken.

(5) Some records fall into the *secondary* class when the records have ceased to be of use to the department concerned. This will occur only when they are of a type of record which merits preservation in the Public Archives of Canada because of their value to other government organizations or to *NON-GOVERNMENT* users. This is where the archival content looms large and it is also the point at which such records become “public records” in fact.

(6) Records of this *secondary* class will possess the inherent faculty of revealing how they were created or received and why they were maintained in the former proprietary department. They will naturally consist of material necessary to provide an authentic and adequate documentation of a department's origin, organization, functions, methods and operations. The records thereby become of prime importance to economists, scientists, statisticians, social scientists, historians and other research personnel. That is, they have *EVIDENTIAL-ARCHIVAL* value.

FACTORS IN EVALUATING RECORDS...



5. ADMINISTRATIVE VALUE OF RECORDS

(1) The administrative value in records may be defined as those policy and procedure records required to carry out the current activities of a department, or of the government as a whole, as well as case records pending the completion of the specific cases.

(2) In the first instance, most records are created or received to cope with some management need. Until this function has been fulfilled, they cannot be considered of no further administrative value. In assessing records for any remaining administrative value to a department, the following questions must be asked and, when the answers are "YES", then the records will have no more administrative value:

- (a) Has the record ceased to contribute to the administrative performance of the function which it supported?
- (b) Has the original purpose of the record been fulfilled?
- (c) Is the record being retained as a convenience or because it has been the practice to keep it?
- (d) Has the transaction within each individual record been completed?
- (e) Has the record been kept merely to guard against administrative blame?
- (f) Is the record available elsewhere, i.e., is it duplicated?

6. LEGAL VALUE OF RECORDS

(1) The legal value in records may be defined as those records which involve long or short term rights of the government or of the private citizen and which are enforceable by the courts. They are more easily identified and some examples are war service records, patents, contracts, leases, title deeds. On occasion, the legal value is subordinate to the original use of the record.

(2) Some legal records may never be destroyed. In other cases, when a transaction has been completed or revoked, then the legal value ceases and the record value will merge into its previous administrative value of operational use. In assessing records for any remaining legal value, the following questions must be asked and, when the answers are "YES", then the records will have no more legal value:

- (a) Has the specific legal action been completed?
- (b) Has the legal evidence served its original purpose?
- (c) Have the rights of the department been protected?
- (d) Have the rights of any individual involved been protected?
- (e) Is the record available elsewhere, i.e., is it duplicated?

7. FISCAL VALUE OF RECORDS

(1) The fiscal value in records may be defined as those records which departments require to show how moneys were obtained, allotted, controlled and expended. Fiscal value varies in lengths of time from short periods for such routine items as expense accounts and invoices to long-term superannuation accounts, trust funds, etc.

(2) The immediate fiscal value of a record ceases when the financial transaction has been completed. The departmental financial records under consideration here are not the same records maintained by the Comptroller of the Treasury attached to the departments. They are of the same type but not of the same use. Thus the departmental financial records are of lesser importance than the equivalent records of the Comptroller's offices, and in many cases the records will fall into the category of duplicates.

(3) In assessing records for any remaining fiscal value from the departmental standpoint, the following questions must be asked and, when the answers are "YES", then the records will have no more fiscal value:

- (a) Has the original purpose of the record been served?
- (b) Has the specific financial transaction been completed?

- (c) Have the rights of the department in the financial transaction been protected?
- (d) Have the rights of any individual involved in the transaction been satisfied?
- (e) Is the record available elsewhere, i.e. is it duplicated?

8. INFORMATIONAL DATA VALUE OF RECORDS (RESEARCH-EVIDENTIAL-HISTORICAL-ARCHIVAL)

(1) This hydra-headed value may be defined as the ability of a record to aid in the reconstruction of the past activities of a department, to provide information for current and future planning, and to furnish data upon which new activities may be based.

(2) Certain records have informational data because they are "UNIQUE". The term "unique" implies that the record contains information which is not available or which cannot be obtained from any other known source. Further, uniqueness of value may be found in the form of the records themselves aside from the information contained in them.

(3) It will be found that this informational data value often parallels the administrative value but when the administrative value has expired the informational data value remains. It is also true that records which departments have had to retain for longer periods because of departmental requirements usually possess long term informational data value. Normally, the obvious illustration of this would be the policy records governing the initiation of revised, expanded or new programs within the department.

(4) The informational data value to the proprietary department and the research-historical aspect of that value to the non-government user merge to become the final archival phase value of that small proportion of the public records which must be retained permanently. This apparent overlap illustrates the fact that the records which a department has decided should be kept for a long period of time will invariably be of interest to the research specialist.

(5) In assessing the informational data value, the following questions must be asked and, when the answers are "YES", then the records will still have research-evidential-historical-archival value and must be preserved for one of these reasons and purposes by transferring them to the Public Archives of Canada where professional staff will safeguard both the interests of the department and the research specialist:

- (a) Does the record show the important aspects of the department:
 - (i) its origin,
 - (ii) its organization and organizational changes,
 - (iii) its administrative role,
 - (iv) its operational role?
- (b) Does the record show the POLICY decisions taken by the department?
- (c) Does the record reveal:
 - (i) the procedural methods of the department,
 - (ii) the operational methods of the department?
- (d) Does the record reveal:
 - (i) the economic,
 - (ii) the internal political,
 - (iii) the international political,
 - (iv) the research,
 - (v) the scientific,
 - (vi) the social,
 - (vii) the statistical, or
 - (viii) any other conditions with which the department dealt during its operations?

9. EXAMPLES OF INFORMATIONAL DATA TYPES OF RECORDS

(1) As a further aid to the Records Manager, a list of records which fall within the informational data category is given below. They may be summed up as those records which exhibit the original conception, the life-time organization with its varying functional and operational changes, and the administrative story reflecting the department's policies.

(2) They will include:

- (a) Major organizational charts and chart revisions;
- (b) Major functional charts and their revisions;
- (c) Correspondence defining and delegating powers and responsibilities;
- (d) Correspondence showing relations with other departments, other governments and the public;
- (e) Legal opinions and decisions relative to the department's operations;
- (f) Regulatory interpretations;
- (g) Operational directives;
- (h) Procedural manuals;
- (i) Progress reports of major importance;
- (j) Organization, agenda, and minutes of departmental committees and involvement in other committees;
- (k) Actions which created precedents or which may have effected local or regional economic, political or social conditions;
- (l) Selective publications, publicity materials, statistics and scientific research projects and data;
- (m) Selective personnel staff files because of:
 - (i) the position occupied by the incumbent,
 - (ii) the senior status of the occupant,
 - (iii) distinction achieved outside departmental activity before, during or after tenure of office, such as:
 - A. in the Armed Services, and/or
 - B. in economic, political, social, artistic, humanitarian or other fields throughout the whole span of the individual's career;

and even

- (n) Sample copies of forms which will reveal systems, procedures and methods used within the department.

10. RECORDS VALUES CONSOLIDATED

(1) In developing and deciding upon retention periods for the records, the Records Manager will be assessing the records in tune with all the considerations explored in the preceding paragraphs. For quicker condensed reference, all these have been published already in the "General Records Disposal Schedules of the Government of Canada", but in that manual they were given as bare statements without the supporting and detailed reasons now provided in this handbook. They are repeated here for emphasis.

(2) Has all action on the records been concluded or has the information contained therein served its purpose? Would any information therein be of further significant value either for administrative, legal, fiscal or research purposes to the creating department or agency or to any other government department?

(3) What, if any, are the legal requirements concerning the retention period of the record? Will the records or information be required to support a claim by the government or to refute one against the government?

(4) Will the records or information be required for the protection of the civil, legal, property or other rights of the government or the general public?

(5) Do other departments retain copies of the records?

(6) Is the substance of the records available in a more permanent form such as in an annual report or such other comprehensive document?

(7) What would be the cost of maintaining the records for a lengthy period of time, and what would be the possible future value to be obtained compared to this cost?

(8) What is the frequency of reference to the records?

(9) Are the records necessary to the creating department or to the Public Archives of Canada to document the department's activities or its historical development and impact?

11. DRAFT SCHEDULES WITH DEFINITE RETENTION PERIODS

(1) The Records Manager now has all the materials with which he will begin to construct a draft schedule. These materials are his acquired knowledge and skills through years of experience or from organization study, all the information garnered through the records inventories, and his tentative assessments of the values of the records. These criteria will permit him to assign retention periods to the various groups of records with reasonable facility.

(2) If his proposals are based on sound principles of logical evaluation and thus conceived practically, the retention periods will be given *DEFINITE* periods of time. These will be stated in calendar years generally, or in fiscal years for financial topics or implications. The time period will be divided to show the active term, followed by the dormant term before the final disposition.

(3) When there is a need to consider special factors, then the retention periods should have adjunct phrases of a clarifying nature attached. Some examples are:

- (a) "X" years after completion;
- (b) investigation completed;
- (c) sale, transfer or expiry of.;
- (d) compilation of a consolidated report;
- (e) the expiry and/or non-renewal of the right involved;
- (f) superseded;
- (g) revision;
- (h) cancellation;
- (i), then transfer to the Public Archives of Canada;
- (j), then transfer for selective retention to the Public Archives of Canada; or
- (k), then consult the Public Archives of Canada.

(4) Dependent upon departmental attitudes, the Records Manager may have to prepare his draft with caution and construct it so that any opposition will collapse by finding itself in an untenable position. During the course of gathering data for the compilation of the records inventories, he will have frequently and of necessity consulted the various primary users of the records and so will already have some knowledge of their opinions. This acquaintance with the user's views will prove of assistance in the choice of acceptable retention periods.

(5) However, the Records Manager must remember that he now has a Departmental Records Committee which will assist in arriving at sensible conclusions. Here is a sounding board where ideas will be thrashed out and the Records Manager will find that these ideas will become rounded off and softened among the committee members themselves. Instead of being the lone proponent expounding the merits of proper records scheduling, he may find that unexpected support is at hand and that he can afford to take a role of interested spectator to the debate, and in the end arrive at his objective with greater effectiveness and better results.

12. SELECTION TECHNIQUES

(1) Initial conservatism can be countered by judicious selection for first discussions. The first areas of selection should be where the non-contentious is obvious, where fears can be easily allayed, and where major benefits can be reaped. Therefore, for the draft of the records schedule, select items about which there can be no doubt that the proposal is sound.

(2) This will entail routine material which has not been referred to for several years and which has clearly outlived its usefulness. Or it can be material in large volume with little reference activity but of a repetitive content such as general correspondence with numerous companies or other departments.

(3) Other obvious types of records are requisitions, purchase orders, invoices, expense accounts, requests for information which are of very little use shortly after the goods or services have been received or performed.

(4) Overlapping records, where another department is obviously the official custodian, e.g., Public Works for accommodation, should be selected for disposal consideration.

(5) Of course, in all of these examples the Records Manager is in possession of an existing authority in the "General Records Disposal Schedules of the Government of Canada". This publication is therefore an additional lever and it can be used with considerable effect for it has the authority of the government behind it.

(6) At later stages, a progressive feeling of confidence will be built up and the next step is to eliminate dead and dormant areas of the records. Their difference from the previous groups will be only one of quantity since much of their content will be of similar kinds of records.

(7) The final step is to take up the question of a review of the active or pseudo-active records. In this case, the program is entering the realm of the present and the immediate future. The records must be given careful scrutiny. Those not in current use, as determined by the reference frequency statistics, should be declared dormant and suitable for transfer to a records centre.

(8) It must be remembered and recognized that some records may contain several years of correspondence prior to the current date and yet still be active in nature. In other cases, correspondence may only date beyond six months but be termed dormant or dead and simply designated for immediate destruction. Such records would be routine requests for forms or literature.

(9) A page from the "General Records Disposal Schedules of the Government of Canada" is shown at Plate X. This is given as a typical example of a records schedule which incorporates a varied selection of retention periods and qualifying restrictions. It is also intended as an example of an acceptable lay-out for a records schedule.

SCHEDULE 6

GENERAL SERVICES

SUBJECT GROUP	SUBJECT	DESCRIPTION	RETENTION PERIODS AND REMARKS	
RECORDS MANAGEMENT (CONTD.)	Disposal and scheduling.	Policy	5 years	A-2, D-3
		Routine	2 years	
	Disposal and scheduling authorities.	Treasury Board Minutes, Public Archives of Canada Authorities, attached records schedules and lists of individual files destroyed in the case of submissions with no continuing authority.		
		Authorities	Until superseded or amended.	
		Lists and indices of files destroyed.	10 years after files destroyed.	
	Indices and registers.		Consult the Public Archives of Canada.	
SECRETARIAL AND STENOGRAPHIC SERVICES			1 year	
SECURITY	General	Policy	5 years	A-2, D-3
		Routine	2 years	
	Breaches		6 months	
	Clearances	Documents and papers	2 years	
		Personnel Policy	5 years	A-2, D-3
		Routine	2 years	
		Individual security clearance files.		
		Negative	3 years after employee separates from the department.	
		Positive	5 years after employee separates from the department.	
		Visits and visitors	1 year	

Significant policy records as defined in paragraph I.A.(c) of the preface should be transferred to the Public Archives of Canada.

SECTION 4

THE AUTHORITY

1. GENERAL RESTRICTIONS ON DESTRUCTION OR TRANSFER

(1) No public records may be destroyed or removed from the ownership of the Government of Canada without the approval of the Public Archives of Canada in the form of a concurring endorsement of the Dominion Archivist. There is one outstanding exception to this rule, and that is that duplicate copies of any record can be destroyed forthwith at the discretion of the department.

(2) Formal authority is not required in the case of the transfer of records between federal departments of the Government of Canada. Finally, formal authority is not required for the transfer of dormant records from a department to a records centre or from a department to the Historical Branch of the Public Archives of Canada although this last action usually appears as a part of a departmental records schedule in its initial text or as an archival limitation of the submission for authorization of the schedule.

(3) These policies apply equally to the field offices of departments as well as the headquarters offices. They also apply to microfilmed records as well as paper records.

2. RECORDS SCHEDULE SUBMISSION FORM – ARC–170

(1) After the Departmental Records Committee has discussed the draft records schedule, and after approval for it has been given either in its original content or subject to agreed revisions, the Records Manager will proceed to complete the Public Archives of Canada Form ARC–170. This is the vehicle by which formal authority for the schedule is obtained.

(2) An examination of the form which is titled “Records Retention and Disposal Authority” shows that in several respects it is similar to certain portions of the records inventory form discussed in the previous section 3. The major differences are that the form ARC–170 does not contain some of the information blocks of the inventory but that it does have some entirely new areas which have to be filled in. When completed, the form must be submitted in duplicate with duplicate schedules attached as and if appropriate.

(3) For the purpose of explaining the use of the form, the sample pro forma at Plate XI will be discussed where the major differences occur.

(4) *Records Manager*: this is for the signature of the officer who was responsible for the taking of the records inventories, for developing the retention periods and for the final compilation of the records schedule. Later he will also be responsible for the implementation of the schedule.

(5) *Signatures of the Officers Approving the Schedule*: these are at the lower portion of the form and provide for three approving signatures. Two of these signatures must be obtained before the submission is forwarded to the Director, Records Management Branch, Public Archives of Canada. They are the signatures of the departmental representatives of the Comptroller of the Treasury and the Auditor General, as stated on the form. These officers will sign the submission to indicate that they approve of the proposals from the financial, and sometimes from the legal, point of view. The last signature is affixed by the Dominion Archivist after archival and records management assessments have been made of the content of the submission. Where any reservations are decided upon, these limits will be expressed in the remaining section prior to the final approving signature of the Dominion Archivist.

3. RECORDS MANAGEMENT AND ARCHIVAL EXAMINATION

(1) When the form ARC-170 is received (in duplicate) with its attached schedule of records by the Records Management Branch of the Public Archives, the proposals are examined in detail from the records management point of view. At the same time, the Public Records Section of the Historical Branch of the Public Archives will conduct its own examination from the archival point of view.

(2) The Records Manager with his intimate knowledge of the department will also be consulted in the course of this detailed examination. He might be able to assist in the archival preservation of some records where he possesses knowledge which will not be evident in the record as a bare and bald record tonic or file caption. In such cases, he will have provided the signal after the stated retention periods by a phrase such as "Consult the Public Archives of Canada before Disposal Action". If such exceptional records warrant retention for the Informational Data Value, this fact will be explicitly mentioned and noted under the archival limitations to the submission. Some of the records may have an unique aspect known only to the primary user who has passed this information to the Records Manager, or this could be known to the Records Manager through a close familiarity with the records.

(3) After this scrutiny by the staffs of the Public Archives, the schedule submission will be recommended for approval to the Dominion Archivist, if it meets with proper standards. After he has signed the form ARC-170, the duplicate copy of the submission is returned to the department and the original is retained by the Records Management Branch. Where there has been a decision that a special reservation must be included in the approval, this will appear in the "Public Archives Limitations" in a phrase such as:

"This submission is approved subject to the following amendment."

or

"This submission is approved subject to the transfer to the Public Archives for selective retention of. after the expiry of the retention periods".

4. REJECTED SUBMISSIONS

(1) A retention period of "INDEFINITE" is not a valid schedule. Aside from its other meanings, its interpretation from a records management inspection is that it implies "I can't make up my mind what time period to assign to this record." Thus, it is not acceptable, and will be rejected.

(2) Another unacceptable term is "PERMANENT RETENTION". If this is a true assessment of the record involved – and it may be, then it must come within the scope of informational data because of some continuing value. It may be that the record has either "Research", or "Evidential", or "Historical", or "Archival" quality, or it may be "Unique". Therefore, the proper repository for this record is the Public Archives of Canada. The use of the phrase "Transfer to the Public Archives of Canada", instead of "Permanent Retention" will do two things:

- (a) it will respect its recommended "Permanency"; and
- (b) it will now have an acceptable disposal decision assigned, i.e.,

IT HAS NOW BEEN SCHEDULED.

5. RECORDS MICROFILMING AUTHORITY (see Sections 4(c) - (d) of the Public Records Order)

(1) Submissions to microfilm records are processed by means of a Public Archives Form ARC-197. A sample pro forma is shown as Plate XII.

(2) The similarity of this form to the "Records Retention and Disposal Authority" form is apparent. The difference is in the technical areas of microfilming, equipment and accommodation sections. The

processing of these requests is also similar to that of the disposal submission with the addition of a technical examination of the proposal by the Technical Services Division of the Public Archives of Canada.

(3) The form ARC-197 provides for the disposal of the original records to be microfilmed and also of the microfilm itself as a record in film form rather than paper form. In this way the one form, ARC-197, covers all the aspects of the submission and there is no requirement to submit a separate form ARC-170 for the destruction of the records to be filmed.

(4) Microfilming of records to save space and equipment is justified when the required retention period for the records exceeds twenty years. This is the best known application of microfilming and it is the particular application being considered here. The statement may be made in another way:

When it is *not* necessary to retain records for a period longer than twenty years, it is not economical to microfilm the records. The economical alternative is storage in a records centre.

(5) As to acceptability as evidence, copies of microfilmed records are acceptable as evidence where they meet the conditions laid down in Section 30 of the Revised Statutes of Canada, 1952, Chapter 307. This section is given as Appendix "B" to this handbook.

(6) Extra microfilm copies of records are often useful as a method of ensuring protection for security purposes.



PUBLIC ARCHIVES OF CANADA
RECORDS RETENTION AND DISPOSAL AUTHORITY
 (AUTHORIZED BY P.C. 1966-1749)

Please submit 2 copies of this form and 2 copies of the proposed schedule to:
 THE DIRECTOR, RECORDS MANAGEMENT BRANCH,
 PUBLIC ARCHIVES OF CANADA, OTTAWA 4, ONTARIO
 For proposals to microfilm records - Use Form ARC 197.

PUBLIC ARCHIVES APPROVAL NO.

DEPARTMENTAL SCHEDULE NO.

LOCATION OF RECORDS

ROOM NO.	BUILDING	ADDRESS (Street and City)	
DEPARTMENT		RECORDS MANAGER (Signature)	DATE

DESCRIPTION OF RECORDS

NAME OF CREATING DEPT., BRANCH, DIVISION OR OTHER		CU. FT. OF RECORDS FOR DIS- POSAL	DATING FROM (year)
IN THE PHYSICAL FORM OF:		ARRANGED BY:	
<input type="checkbox"/> FILES <input type="checkbox"/> MICROFILM <input type="checkbox"/> PLANS <input type="checkbox"/> OTHER (Specify)		<input type="checkbox"/> SUBJECT CLASSIFICATION <input type="checkbox"/> NAME <input type="checkbox"/> CONTRACT NO. <input type="checkbox"/> OTHER (Specify)	

QUOTE ANY EXISTING DISPOSAL AUTHORITY

CONTINUING AUTHORITY REQUESTED

☐ YES ☐ NO

RECORDS RELATED TO
 (Describe major subjects, functions, etc.)

RETENTION PERIOD(S)
 (When NO schedule attached)

DATE	SCHEDULE APPROVED	DATE	SCHEDULE APPROVED
REPRESENTATIVE OF THE COMPTROLLER OF THE TREASURY		REPRESENTATIVE OF THE AUDITOR GENERAL	

PUBLIC ARCHIVES LIMITATIONS APPLICABLE TO THIS SCHEDULE

DATE	SCHEDULE APPROVED
------	-------------------

ARC 190 (5-68)

DOMINION ARCHIVIST

RECORDS MICROFILMING AUTHORITY

INSTRUCTIONS.

A. DEPARTMENTS WILL SUBMIT THIS APPLICATION, WITH ATTACHMENTS IF APPLICABLE, IN DUPLICATE TO - THE DIRECTOR, RECORDS MANAGEMENT BRANCH, PUBLIC ARCHIVES RECORDS CENTRE, TUNNEY'S PASTURE OTTAWA.

B. ANY ESTIMATE OVER \$1,000.00 REQUIRES A SUBMISSION TO TREASURY BOARD, UNLESS THIS EXPENDITURE HAS BEEN SPECIFICALLY PROVIDED FOR IN DEPARTMENTAL ESTIMATES.

C. TECHNICAL ADVICE ON MICROFILMING TECHNIQUES, EQUIPMENT AND COST ESTIMATING MAY BE OBTAINED FROM THE CENTRAL MICROFILM UNIT, PUBLIC ARCHIVES OF CANADA, OTTAWA.

RECORDS LOCATION

DEPARTMENT			BRANCH/DIVISION		
ROOM NO.	BUILDING	STREET		CITY	
I HEREBY REQUEST AUTHORITY TO MICROFILM RECORDS AS PROPOSED IN THIS FORM OR ATTACHED SCHEDULE					DATE

(SIGNATURE AND TITLE OF AUTHORIZED OFFICER)

I HEREBY CERTIFY THAT I HAVE NO OBJECTION TO THE DISPOSAL OF THE RECORDS AND/OR MICROFILMS AS PROPOSED IN THIS FORM OR ATTACHED SCHEDULE.

CHIEF TREASURY OFFICER	DATE	AUDITOR GENERAL'S REPRESENTATIVE	DATE
------------------------	------	----------------------------------	------

RECORDS DESCRIPTION

NAME OF CREATING DEPARTMENT			DATING	FROM (YR)	TO (YR)
BRANCH, DIVISION OR OTHER					

PHYSICAL FORM	FILES	MAPS	PLANS	OTHER (SPECIFY)	ARRANGED BY	SUBJECT	ALPHABETICALLY	NUMERICALLY	OTHER (SPECIFY)
---------------	-------	------	-------	-----------------	-------------	---------	----------------	-------------	-----------------

RELATING TO (FILE SERIES, SUBJECT MATTER AND OTHER INFORMATION)	QUANTITY		
	CUBIC FT. OR	NO. OF ITEMS	SIZE

MICROFILMING

PURPOSE	INFORMATION RETRIEVAL	SECURITY	DUPLICATION OF INFORMATION	ACQUISITION OF INFORMATION FROM ANOTHER SOURCE	SAVINGS IN SPACE	SAVINGS IN EQP'T	OTHER (SPECIFY)								
TYPE REQ'D.	16 MM	35 MM	ROLL	SILVER NEG.	SILVER POS.	KALVAR DUP.	SILVER DUP.	APERTURE CARDS	SILVER	DIAZO	KALVAR	OTHER	JACKETS	FICHE	MAGAZINE
EQUIPMENT REQUIRED FOR STORAGE AND USE OF MICROFILM (THIS DOES NOT CONSTITUTE AN AUTHORITY FOR PURCHASE)				CABINETS	READER	READER-PRINTER	OTHER								
SPECIFY TYPE OF READER ETC.				NAME OF DEPT'L OFFICER IN CHARGE OF MICRO-FILM PROJECT				PHONE NO.							

EQUIPMENT RELEASED (STATE QUANTITY IN NOS. AND QUALITY AS GOOD, FAIR, POOR)

4 DRAWER FILE CABINET			5 DRAWER FILE CABINET			PLAN FILE CABINET		
QTY.	QUAL.		QTY.	QUAL.		QTY.	QUAL.	
SHELVING			INDEX DRAWERS			OTHER (SPECIFY)		
QTY.	FEET QUAL.		QTY.	SIZE		QTY.	QUAL.	
DISPOSAL OF EQUIPMENT			TO BE RETAINED			TO DDP		
						TO CADC		

FLOOR SPACE RELEASED (AREA AND TYPE)

AREA	GOOD OFFICE SPACE	COULD BE USED FOR OFFICE SPACE	GOOD STORAGE SPACE	POOR STORAGE SPACE
SQ. FT.				

DISPOSAL SCHEDULES

ORIGINAL RECORDS	RETAINED IN DEPT.	REASON FOR RETENTION	TRANSFERRED TO	DESTROYED IMMEDIATELY OR	AFTER RETENTION OF YEARS
MICROFILM	RETAINED IN DEPT.	TRANSFERRED TO		DESTROYED AFTER	YEARS

FOR PUBLIC ARCHIVES USE

ESTIMATED COST OF MICROFILMING	DATE	APPROVED
\$		
		DOMINION ARCHIVIST
COMMENTS		

TREASURY CERTIFICATE

I CERTIFY THAT THERE IS AN UNENCUMBERED BALANCE IN THE APPROPRIATION ALLOTMENT CONCERNED

F.E.NO.	AMOUNT	DATE	FOR COMPTROLLER OF THE TREASURY
	\$		

Destroy !



- Records that have reached the destruction age specified in the schedules, including those now in Archives Records Centres.
- Superseded or cancelled copies of directives, notices, procedures, and manuals you have received.
- Reference material that is no longer needed or used.

SECTION 5

THE DISPOSAL

1. RECORDS SCHEDULING STAFF

(1) Throughout this handbook frequent references have been made to the Records Manager. They are not intended to presume that he personally will be the sole person involved in the development or the application of the records schedule. In a small department this could be done by the Records Manager as one of his many operative functions, but in a large department there will be a Records Scheduling Officer and he may also require a small operating staff. Where this is a requirement, reasonable working space and working conditions must be provided so that their operations will be fast, efficient and thorough.

(2) This working staff will vary in number and classification from department to department. In general, the staff should be capable of assisting in the preparation and later in the implementation of the records schedule after short briefings by the Records Manager or the Records Scheduling Officer. They must be familiar with the subject classification system and the records. To acquire this knowledge, some adequate period of experience on subject classification activities will be a necessity. Such experience will supply the means of becoming well versed in the functions and operations of the department and of gaining knowledge of any overlap in responsibilities between the department and other agencies.

2. APPLYING THE RECORDS SCHEDULE

(1) When the formally approved submission has been returned from the Public Archives of Canada, every effort should be made to apply its provisions promptly and regularly. In theory, records become due for scheduling every day of the year but this would be uneconomical in small departments. In practice, records do not require to be actioned as defined in the schedule on the exact specific date when their retention periods end. However, in a well-run records office action will invariably occur within three months after the stated retention periods expire.

(2) In large departments where a scheduling staff is necessary, a pre-determined plan adapted to local conditions should be established in putting the records schedule to practical use. A cut-off cycle system could be set up on a "Bring Forward" basis. One method could be to allocate certain groups or blocks of records to specific months of the year so that all sections of the subject classification system would be covered during the twelve month period. If this is too fine a segregation, then more than one group or block could be assigned to one month and the exercise would be reduced to nine-, six- or three-month intervals.

(3) Where the subject classification system is not well organized in the first instance, it may be found necessary to remove certain records from a block of subjects when they are of continuing value. Even certain valuable documents may have to be extracted from various individual files. This is the process of screening (or stripping, weeding) and only in some exceptional or unusual circumstances is this practice justifiable. Screening of records folio by folio is extremely costly, however, and cannot be defended as a normal procedure. Every effort should be made to avoid this impractical situation.

(4) Many records are open to a natural chronological arrangement and so can be separated into natural time periods. This may be monthly for very large increments, or the segments may be for longer intervals of three, six or twelve months. Alternately, some other important date or event in the life of the records will dictate the logical cut-off or break-off time period. This could be after the completion of an action, the expiry of a contract or lease, the separation of an employee from the Public Service, or the start of a

new phase in an operation. Other records which consist of quarterly returns and correspondence in relation to the returns will break into three-month periods naturally. A primitive example is that of fiscal records where the disposal action will be given attention automatically at the end of each fiscal year, i.e. at the close of the month of March. Whatever point is used for the purpose of the cut-off, the dormant file or file volume is eligible for destruction or transfer to a records centre, and a new volume, as required, is created. Where the records have been organized in this "break-off" way, action for their disposal, whether for destruction or transfer, is made easier.

(5) All departments should have two files on substantive records. One is the POLICY file, the other is the ROUTINE file or file series for the same subject. The policy file will grow very slowly: the routine files will grow rapidly and usually accumulate into volumes. The routine can be transferred regularly by volume to dormant storage. For any such files, number the volumes by year and within each year as well, e.g. 68/1, 68/2, 68/3, etc. When the records schedule is being applied, the records by their volumes are easily identified for transfer to a records centre – or for destruction when the time limit has been passed. If this method is not used, then place the first and last dates within the file volume on the outside of the file jacket where this information may be readily seen. It will be realized, of course, that this is the same thing as the year/volume system accomplished in a more cumbersome fashion.

(6) Frequently, a case file will diverge into a POLICY decision and where this policy is left on a routine case file, it will become lost or the fact may be used for an argument to retain case files. As a preventive measure, a good Records Manager will convince departmental administration to issue instructions that requests for policy rulings do not include specific events, items or names but that the policy question be posed without reference to a particular circumstance. Therefore, it is an important duty of records scheduling staff to see that rulings are removed from case files and placed on the applicable policy subject file.

3. TRANSFER TO DORMANT STORAGE AT RECORDS CENTRES

(1) An important part of a records schedule is the identification of the preferred location of the records during their life cycle:

- (a) ACTIVE for so many years – preferably two years;
- (b) DORMANT for so many years;
- (c) Final disposition by destruction of worthless material; and
- (d) Final retention by transfer to the Public Archives of Canada for valuable records which must be retained.

(2) To achieve the economies of low cost storage space, records which are dormant should be transferred to a records centre storage area as soon as they are no longer active. The criterion for assessing records as dormant is the reference frequency activity of the records. When this activity is no more than one reference per cubic foot per month, then the records fall into the class of dormant.

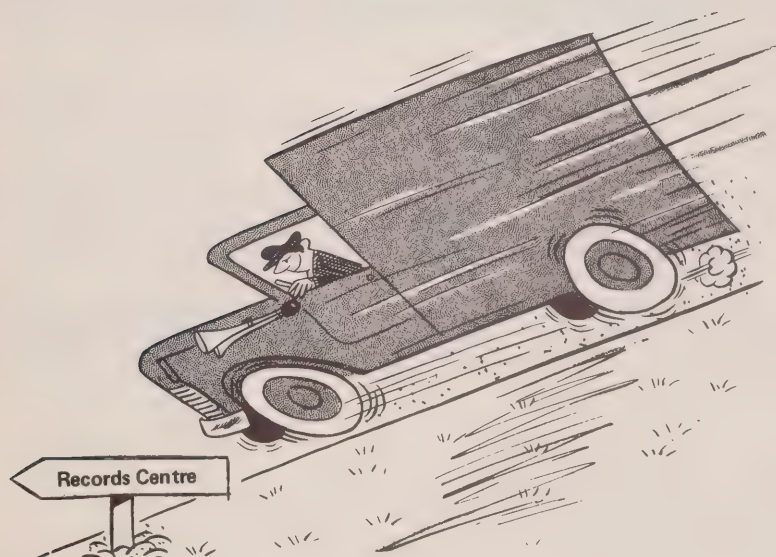
(3) The Government of Canada through the Public Archives operates a complex of records centres at Ottawa, Montreal and Toronto with others to follow in the future. In these centres, at present, a free dormant storage facility for records of all types – files, drawings, maps, microfilms, etc. – is offered to the departments. Added to the storage is a reference and daily delivery service.

(4) Records Managers are reminded that the records of their departments are never destroyed by the staff of a records centre without prior advice to the departments, even when the prescribed time periods for retention have been exceeded. The records centre staff will advise the departments of the case and request confirmation that the records may be destroyed. If this confirmation is forthcoming, then the records will be disposed of but, if a further retention is requested for adequate cause, the records will be held for such additional time as may be indicated. Another alternative may be that the records are due for transfer to the Public Archives of Canada as shown on the records schedule. In such cases the same procedure is followed as for destruction.

Transfer

TO ARCHIVES RECORDS CENTRES

- Records that have reached the transfer age specified in the schedules.
- **BUT ALSO** records not covered by the schedules and which occupy **NEEDED SPACE AND EQUIPMENT**, but which can and will be scheduled for a records centre retention period of over two years.
- Record accumulations eventually eligible for destruction that have **BECOME INACTIVE**.
- Records of **DISCONTINUED FUNCTIONS** or activities not yet eligible for destruction.



(5) In records disposal work, it is worth repeating that needless screening, stripping or weeding should be avoided. The cost is unjustifiable in comparison with the low cost facilities of a records centre. While the economical advantages of records centres are obvious, in addition, centralized dormant storage of this type has produced other advantages such as providing a location for the records of defunct agencies.

4. TRANSFER OF PERMANENT RECORDS TO THE HISTORICAL BRANCH, PUBLIC ARCHIVES

(1) The very small portion of the public records which must be preserved permanently because of their archival value will be selected and then transferred as so indicated to the Historical Branch, Public Archives of Canada. This will be done either from the department direct during the active application of the records schedule or from the records centre by the staffs of the centre and the Historical Branch.

(2) Where such transfers involve some considerable volume of records in a series of a subject classification system, it is often desirable to transfer the numerical index control as well as the records. Even when there may be gaps in this index control because of authorized destruction of intermingled subjects, the information shown may be of value to the archivist or other research specialist. Advice on this should be sought from the Public Archives.

(3) Under the selective retention technique of the Public Archives, large bodies of transferred records will be processed by professional archivists and refined further to their irreducible final proportion selected for PERMANENT RETENTION as archives of the Government of Canada.

5. INFORMATION ON PHYSICAL DISPOSAL

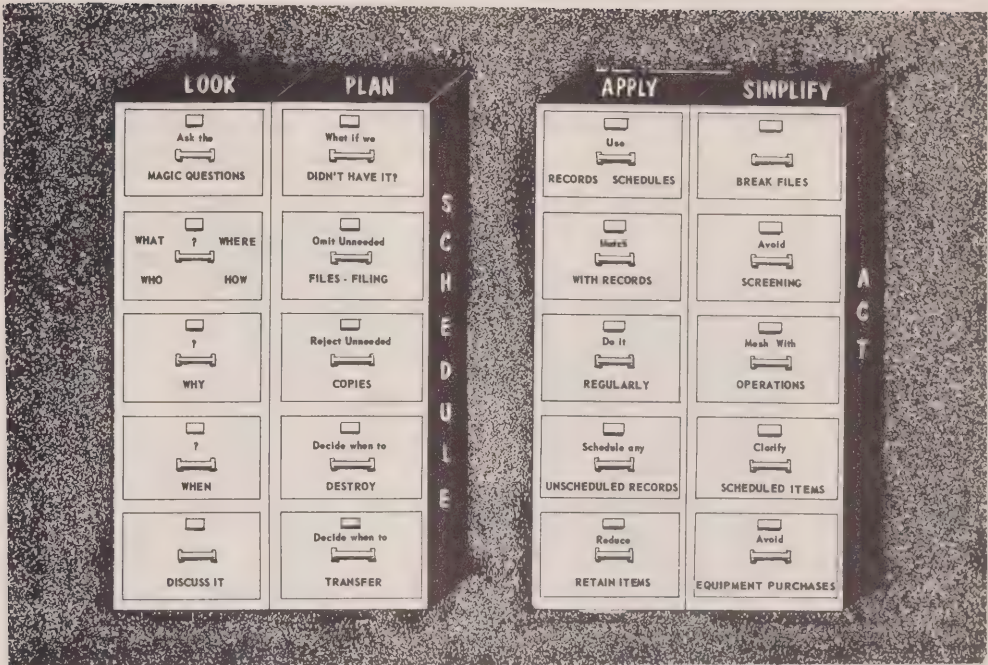
(1) At present, there are four physical means of disposing of scheduled records which are due for destruction. These are:

- (a) by sale as waste paper for unclassified records;
- (b) by shredding;
- (c) by burning; and
- (d) by pulping.

The last three methods are applied to security classified records. The choice of method is dependent upon the security nature and class of the material to be destroyed.

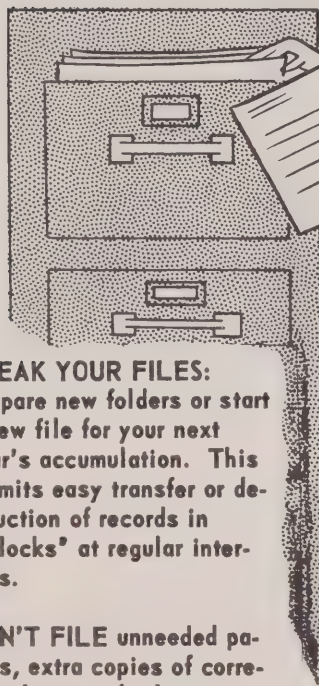
(2) The Department of Public Works and the Public Archives of Canada in some of their establishments maintain shredding, burning or pulping facilities which are available to all departments. Arrangements must be made through the appropriate officer, in advance, for the use of these facilities.

(3) It must be remembered that statistics must be maintained indicating the total number of cubic feet of records destroyed annually. A report must be forwarded by every department both for its headquarters and its field offices to the Director, Records Management Branch, Public Archives of Canada, on a fiscal year basis.



Review

REMAINING FILES



- **BREAK YOUR FILES:**
Prepare new folders or start a new file for your next year's accumulation. This permits easy transfer or destruction of records in "blocks" at regular intervals.
- **DON'T FILE** unneeded papers, extra copies of correspondence and other papers. **DESTROY WITHOUT FILING.**
- **GET OFF MAILING LISTS** for unessential material.
- **DON'T MAINTAIN UNNEEDED RECORDS. CHALLENGE** the need for each record. **ASK: WHAT IF WE DIDN'T HAVE IT?** Eliminate it **IF:** the information is no longer needed, the cost exceeds the worth, there is a better source or way, or if it can be combined with some other record.

SECTION 6

MAINTENANCE and REPAIR

1. INSPECTION OBSERVATIONS

(1) As the records are reviewed in the application of the records schedule, observations should be made and noted for future revision of the records schedule. Items which will be considered include adequacy in coverage, the time periods, clarification, simplification, justification.

(2) It is not enough to have produced an authorized records schedule and it is not enough to put it into use. It must be maintained up-to-date, improved upon, and new authority obtained where reduced retention periods can be agreed on and accepted by the user. New authority for retaining records for a longer period than specified in the schedule is not required.

2. CLARIFICATION AND SIMPLIFICATION

The records schedule should be reviewed to bring out those items which must be clarified or simplified. Without a doubt some of these points will have been noticed in the application of the schedule, but an examination exercise should also be conducted for any other places where improvements may be made. One or two examples are given of faulty retention periods:

- (a) "Destroy after review by the Director";
- (b) "Retain until purpose served";
- (c) "10 years (Original information to be retained in subject file indefinitely)";
- (d) "Destroy 1 year after statute of limitation becomes effective".

3. REDUCTION OF RETENTION PERIODS

(1) In the beginning, it is easy to make an error in the evaluation of the value of records. Too long a retention period may have been assigned to achieve agreement in the Departmental Records Committee. An overly cautious approach may have been taken which will become obviously excessive in the application within two years at least.

(2) Rates of reference frequency will establish that too long a retention period has been assigned. These rates are factual and cannot be disputed. They can be assembled through the charge-out frequency of the records within the department. Or, if the records are at a records centre, then reference rates data will be provided on request to prove the point.

(3) Another means of establishing that retention periods are excessive is evidence of duplication. Much of the information on a department's files is available from other sources which may even be within the department, or in other departments. Public Works has records of requisitions for space and maintenance. Defence Production has requisitions for equipment. The Comptroller of the Treasury has duplicate records of suppliers accounts, travel claims and so on.

4. NEW SUBJECT CLASSIFICATION ADDITIONS

No organization is static unless it is dead. Every department is adding new functions, re-organizing or eliminating them. New departments are being formed to-day and will be in the future. If the department acquires new obligations, then it will create or receive new types of records. As these new records begin to become evident, prepare new records schedules for them, obtain the necessary authority and apply the new schedules when appropriate. The ultimate aim of records scheduling is 100% coverage of the records.

5. CONSOLIDATE ALL RECORDS SCHEDULES

During the progress of the records scheduling program, various approved schedules will have accumulated. All these records schedules along with any older existing schedules should be consolidated into one operational handbook. This consolidation should be rounded out by the addition of any other relevant information such as some detail on implementation instructions, implementation time periods and other local operating factors. Another suggestion is to incorporate the records schedules as a part of the subject classification manual so that the two general factors of subject classification and of the disposal authorities are placed relative to one another.

6. KEEP UP-TO-DATE

(1) To ensure that the records schedules are put to actual use, departments can instal management controls so that the effectiveness of the schedules will be measured and areas for improvement made apparent. Some of these measurements include:

- (a) *A Report System*: a statistical report is a requirement under Treasury Board Minute 615320 of February, 1964, on an annual fiscal basis. Since there is no longer a Public Records Committee, this report is now made to the Director, Records Management Branch, Public Archives of Canada; this report has been mentioned at paragraph 5(3) of Section 5;
- (b) *A Bring Forward System*: this is the organization of regular disposal activity mentioned at paragraph 2(2) of Section 5;
- (c) *An Audit System*: this should be installed by departments not only to inspect the operation of scheduling at their headquarters records offices but also at their field offices; and
- (d) *An Equipment Moratorium*: this exists through the Treasury Board Management Improvement Policy, MI-7-67, T.B.675296 dated December 14, 1967; this is attached as Appendix "C" to this handbook for quick reference.

(2) One of the main features of a records scheduling program is to apply the schedules at regular intervals. Do not allow a back-log to accumulate but on the other hand do not disrupt the entire work of the records office in order to keep up-to-date.

(3) The numerical index control of the subject classification system must be suitably amended to show the particular application of the records schedule to the files by means of appropriate symbols. Do not create or produce and maintain lists — see also the item "Lists and indices of files destroyed" at Plate X, page 30.

(4) Where records schedules are applied properly and regularly, there will be fewer records. With fewer records, i.e. the really important and active records, access to these records is made easier and more accurate.

(5) Where records schedules are applied, there will be economies in space, in equipment and in efficiency of staff production.

(6) Where records schedules are NOT applied and dormant records are mixed in with current active records, it costs approximately twice as much to service the mixture.

(7) Where records schedules are applied, the valuable and important records will be protected. These are the records which are valuable for the day-to-day operations of the department which created or received them, valuable oftentimes to other departments as informational data or because of some organizational inheritance, and, finally, valuable to the Public Archives of Canada.

VIEW OF AN ARCHIVES RECORDS CENTRE
(For Comparison Check Against Plates III, IV and V)

PLATE XVII



PHOTO BY PUBLIC ARCHIVES OF CANADA – OTTAWA

PLATE XVIII
UNLABELLED
BOXES

VIEW OF AN ARCHIVES RECORDS CENTRE
(For Comparison Check against Plates III, IV and V)

LABELLED
BOXES



PHOTO BY PUBLIC ARCHIVES OF CANADA— OTTAWA

SECTION 7

STEP BY STEP SUMMARY

1. NECESSARY PRELIMINARY INFORMATION

- (1) A knowledge of departmental responsibilities, organization, acts administered, regulations promulgated, operating procedures and key officials.
- (2) A knowledge of the departmental records – old, current and possible future holdings.
- (3) A knowledge of records management techniques – particularly subject classification and records scheduling.
- (4) A knowledge of the requirements of central agencies such as Public Service Commission, Comptroller of the Treasury, Auditor General, Treasury Board, Public Archives of Canada.
- (5) A knowledge of duplicate or overlapping records areas.
- (6) A knowledge of existing authorities.

2. NECESSARY PRELIMINARY STEPS

- (1) Secure top level support.
- (2) If required, establish a Departmental Records Committee.
- (3) Prepare the records inventories in detail.
- (4) Review the inventories with the primary users of the records.
- (5) Review any existing authorities against the inventories.
- (6) Assign retention periods to the records according to their:
 - (a) Administrative Value;
 - (b) Legal Value;
 - (c) Fiscal Value; and/or
 - (d) Informational Data Value.

3. PREPARE DRAFT SCHEDULES FOR DEPARTMENTAL RECORDS COMMITTEE

- (1) Select for initial consideration non-contentious records.
- (2) Follow up by submitting more complex records groups.
- (3) Obtain committee agreement for the records schedules as originally developed or as revised.
- (4) Act promptly on committee decisions.

4. SUBMIT RECORDS SCHEDULES TO THE PUBLIC ARCHIVES PROGRESSIVELY

- (1) Complete the "Records Retention and Disposal Authority", form ARC--170, in duplicate, and attach copies of records schedules if necessary.
- (2) Obtain approval signatures of the representatives of the Comptroller of the Treasury and the Auditor General.
- (3) Forward to the Director, Records Management Branch, Public Archives of Canada.

5. TAKE PROMPT DISPOSAL ACTION ON APPROVED RECORDS SCHEDULES

- (1) Apply approved records schedules to all records holdings according to a predetermined plan.
- (2) Destroy records where time limits have been reached when action is confirmed by the primary users.
- (3) Transfer dormant records to a records centre as applicable.
- (4) Transfer records of permanent value to the Historical Branch, Public Archives of Canada.

6. MAINTAIN AND REPAIR THE RECORDS SCHEDULES

- (1) Clarify.
- (2) Simplify.
- (3) Shorten retention periods.
- (4) Inventory groups of new records.
- (5) Schedule the unscheduled records.
- (6) Eliminate non-record material.
- (7) Prevent unnecessary filing of records of no value.
- (8) Break files for easier transfer to storage.
- (9) CONSOLIDATE the various records schedules with continuing authorities — old and new — into one operative RECORDS SCHEDULING MANUAL or incorporate them into the Subject Classification Manual.

APPENDICES

A – THE PUBLIC RECORDS ORDER

B – R.S.C. 1952, Chapter 307,
CANADA EVIDENCE ACT, Section 30 Extract

C – TREASURY BOARD MANAGEMENT IMPROVEMENT
POLICY, MI-7-67, TB. 675296 dated
December 14, 1967.

D – RECORDS SCHEDULING OPERATIONAL CHECKLIST

E – TYPICAL RECORDS STORAGE EQUIPMENT CAPACITIES AND SIZES

F – BIBLIOGRAPHY

APPENDIX "A"

THE PUBLIC RECORDS ORDER

P.C. 1966-1749

AT THE GOVERNMENT HOUSE AT OTTAWA

FRIDAY, the 9th day of SEPTEMBER, 1966

PRESENT:

HIS EXCELLENCY

THE GOVERNOR GENERAL IN COUNCIL.

His Excellency the Governor General in Council, on the recommendation of the Secretary of State and the Treasury Board, is pleased hereby to revoke Order in Council P.C. 1961-212 of 16th February, 1961, and to make the annexed Public Records Order in substitution therefor, effective October 1, 1966.

Certified To Be A True Copy

Clerk of the Privy Council.

Short Title.

1. This Order may be cited as the *Public Records Order*.

Interpretation.

2. In this Order,

- (a) “department” has the same meaning as in the *Financial Administration Act*; and
- (b) “public records” means correspondence, memoranda or other papers, books, maps, plans, photographs, films, microfilms, sound recordings, tapes, computer cards, or other documentary material, regardless of physical form or characteristics, that
 - (i) are made or received by any department in pursuance of federal law or in connection with the transaction of public business,
 - (ii) are preserved or appropriate for preservation by that department, and
 - (iii) contain information on the organization, functions, procedures, policies or activities of that department or other information of past, present or potential value to the Government of Canada,

but does not include library or museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of records preserved only for convenience of reference, working papers or stocks of publications or printed documents.

Responsibilities of the Treasury Board.

3. Nothing in this Order shall be construed as restricting the authority and responsibility of the Treasury Board to exercise its functions in respect of general administrative policy in the public service and in particular to issue policy statements or guides aimed at the administrative improvement of records management in the public service of Canada, or assessing the effectiveness of any department or agency in these matters.

Responsibilities of the Dominion Archivist.

4. With respect to public records in the custody of departments, the Dominion Archivist shall
 - (a) assess all proposals to destroy records and approve such of those proposals as he considers to be in the public interest;
 - (b) assess all proposals for the removal of records from the ownership of the Government of Canada and approve such of those proposals as he considers to be in the public interest;
 - (c) assess all proposals of departments for microfilming with particular regard to
 - (i) the appropriateness of equipment proposed,
 - (ii) the efficiency of the processing techniques to be employed,
 - (iii) the adequacy of the proposals regarding the preservation of public records,
 - (iv) the economies that might be obtained by using the central microfilming service for machine processing;
 - (d) from time to time review existing microfilming installations in the light of the factors listed in paragraph (c);
 - (e) assess, through periodical reviews of departmental practices,
 - (i) the adequacy of departmental records classification systems as a means of preventing loss within the holdings,
 - (ii) the extent to which the important policies and programs of departments are documented for future research, and
 - (iii) the extent to which records are segregated as to value and given adequate storage and handling in order to protect them from deterioration and from accidental and wartime destruction; and
 - (f) establish standards and issue guides to departments in respect of the matters described in this section.

5. With respect to public records in his custody, the Dominion Archivist shall classify, store and safeguard
 - (a) historical records no longer required by departments and transferred to the custody of the Public Archives; and
 - (b) records of defunct departments that have not been placed in the custody of some other department.
6. With respect to dormant records that are still the property of departments, the Dominion Archivist shall provide economical records-centre storage facilities and shall promote the use of such facilities.
7. In relation to the responsibilities set out in sections 4, 5 and 6, the Dominion Archivist shall
 - (a) prepare an annual report to the Treasury Board on the activities of departments in the field of records;
 - (b) submit reports to departments whenever he considers there is inadequacy in the management of their records;
 - (c) serve as Chairman of the Advisory Council on Public Records established by this Order;
 - (d) issue general schedules regarding the retention and disposal of records common to most departments (i.e. housekeeping records); and
 - (e) establish standards to assist departments to schedule the retention and disposal of their operational records, and approve or refuse to approve all such schedules.

Responsibilities of Departments.

8. (1) Each department shall
 - (a) designate an officer of the department who has a thorough knowledge of records management to act as Records Co-ordinator;
 - (b) submit to the Dominion Archivist any proposal to destroy records, other than those covered by existing schedules, or to remove records from the ownership of the Government of Canada;
 - (c) by May 1, 1969, submit for the approval of the Dominion Archivist retention and disposal schedules applying to all operational records; and
 - (d) when considering the possibility of using microfilm in the management of records, seek, at an early stage, the advice of the Dominion Archivist on equipment, techniques and possible economies, whether the department is conducting the study using its own resources, an advisory service or a consultant.
- (2) Where the Central Microfilm Unit of the Public Archives cannot provide suitable microfilm service to a department, taking into consideration economy and departmental program needs, the department may, in accordance with the *Government Contracts Regulations*, utilize commercial microfilm services on a service, rental or purchase basis.
- (3) No department shall destroy records or permit records to be removed from the ownership of the Government of Canada without the approval of the Dominion Archivist.

Advisory Council on Public Records.

9. (1) There shall be an Advisory Council on Public Records to which the Dominion Archivist may refer matters of policy and proposals for the destruction of records, whenever he considers that the experience of departments and the views of the academic community are specially relevant.
- (2) The Advisory Council on Public Records shall consist of
 - (a) the Dominion Archivist, who shall be Chairman; and

- (b) twelve other members, to be appointed by the Treasury Board on the recommendation of the Dominion Archivist, each for a term not exceeding three years, as follows:
 - (i) nine members from government departments and agencies, including the Treasury Board at all times, and
 - (ii) three members from outside the public service, one of whom shall be a representative of the Canadian Historical Association, one of whom shall be a representative of the Canadian Political Science Association and one of whom shall be a representative of the Records Management Association of Ottawa.
- (3) There shall be at least one meeting of the Advisory Council on Public Records in each quarter.
- (4) Procedural rules for the Advisory Council on Public Records shall be drawn up and issued to departments by the Dominion Archivist.
- (5) The Advisory Council on Public Records shall consider and make recommendations to the Dominion Archivist concerning all matters respecting public records referred to it by any member of the Council or the Treasury Board.

APPENDIX “B”

Extract from section 30, R.S.C. 1952, Chapter 307, Canada Evidence Act.

“30

- (1) In this section,
 - (c) “photograph film” includes any photographic plate, microphotographic film and photostatic negative.
- (2) A print, whether enlarged or not, from any photographic film of,
 - (a) an entry in any book or record kept by any government or corporation and destroyed, lost, or delivered to a customer after such film was taken,
 - (b) any bill of exchange, promissory note, cheque, receipt, instrument or document held by any government or corporation and destroyed, lost or delivered to a customer after such film was taken, or
 - (c) any record, document, plan, book, or paper belonging to or deposited with any government or corporation;

is admissible in evidence in all cases in which and for all purposes for which the object photographed would have been received upon proof that

- (i) while such book, record,, or paper was in the custody or control of the government or corporation, the photographic film was taken thereof in order to keep a permanent record thereof; and
 - (ii) the object photographed was subsequently destroyed by or in the presence of one or more of the employees of the government or corporation, or was lost or was delivered to a customer.
- (3) Proof of compliance with the conditions prescribed by this section may be given by any or more of the employees of the government or corporation, having knowledge of the taking of the photographic film, of such destruction, loss, or delivery to a customer, or of the making of the print, as the case may be, either orally or by affidavit sworn in any part of Canada before any notary public.”

APPENDIX "C"

Canada

MANAGEMENT IMPROVEMENT POLICY

Management Improvement Branch

No. MI-7-67 Date Dec. 15, 1967

TB. 675296 Dec. 14, 1967

**SUBJECT: A PARTIAL MORATORIUM ON PURCHASES
OF CONVENTIONAL FILING CABINETS.**

CONTENTS

1. OBJECTIVE
2. BACKGROUND
3. DEFINITIONS
4. POLICY DIRECTIONS
5. DEPARTMENTAL RESPONSIBILITIES
6. RESPONSIBILITY OF THE DEPARTMENT OF PUBLIC WORKS
7. RESPONSIBILITY OF THE DEPARTMENT OF DEFENCE PRODUCTION.

1. OBJECTIVE

To promote more economical use of office space and to save on the cost of filing equipment.

2. BACKGROUND

Treasury Board, after considering reports by public service specialists from the Public Archives and the Records Management Association on the applicability and value of a moratorium on conventional filing equipment, has directed that this policy statement be distributed to all departments and agencies.

3. DEFINITIONS

"Conventional Filing Cabinets" means standard 2-, 3-, 4- or 5- drawer wooden or metal cabinets.

"Modular Shelf Filing" refers to Canadian Government standard modular shelving.

"Security File Cabinets" refers to approved cabinets, such as "Security Shell", required for storage of classified documents.

"Private Office" means any office space other than that occupied by file registries, central registries, or record registries, or other areas maintained for the retention and accession of departmental files, including personnel files.

4. POLICY DIRECTION

Effective January 1, 1968, all departments and agencies are required to implement the procedures outlined in this policy statement, and they shall continue until further notice.

5. DEPARTMENTAL RESPONSIBILITIES

Departments will be responsible for:

- (a) limiting their purchases of conventional filing cabinets to requirements for private offices and to security file cabinets. However, it is recommended that departments consider the possibility of creating "security areas" in which classified material may be housed in modular shelf filing.
- (b) initiating the conversion of existing file registries, wherever possible, from conventional filing cabinets to modular shelf filing.
- (c) conducting a systematic review of all files in order to accelerate
 - (i) the destruction of unnecessary or obsolete material,
 - (ii) the transfer of dormant or inactive material to a Public Archives records centre.
- (d) including evidence of the application of (b) and (c) in all requests to the Department of Public Works, Accommodation Division, concerning their movement in whole or in part to other buildings or areas of buildings or within the same building, where such movement involves file or record registries.

6. RESPONSIBILITY OF THE DEPARTMENT OF PUBLIC WORKS

The Accommodation Division, Department of Public Works, will be responsible for ensuring that any request for the movement of a department or agency as outlined in 5(d) is accompanied by evidence of a departmental review of existing file registry contents.

7. RESPONSIBILITY OF THE DEPARTMENT OF DEFENCE PRODUCTION

It will be the responsibility of the Department of Defence Production to refuse all requests for purchase of conventional filing cabinets unless such request is certified by the departmental records co-ordinator as meeting requirements for private offices and/or security file cabinets.

Assistant Secretary.

APPENDIX "D"

RECORDS SCHEDULING OPERATIONAL CHECKLIST

1. GENERAL

As an operational aid to the Records Manager or the Records Scheduling Officer, the following operational checklist for "Records Scheduling and Disposal" is given. Its use will show to what stage the program has progressed, and what remains to be done. It can be applied both at departmental headquarters and in departmental field offices.

2. RECORDS SCHEDULING AND DISPOSAL ASSESSMENT

DEPARTMENT/AGENCY	BRANCH, DIVISION OR UNIT		
LOCATION	OFFICER-in-CHARGE	PHONE	
	YES	NO	Otherwise, Remarks
1. Program (a) Is there a formal records scheduling and disposal program in operation? (b) If not, why not? (c) If so, who is responsible for its implementation? (d) If so, how many records staff are so employed? (e) What percentage of the records are covered by the program? (f) Do the classifiers have responsibility for reviewing their subject areas for the program? (g) Does the program apply to field or unit offices under the Records Manager?			
2. Implementation (a) Have all records been inventoried in accordance with PAC requirements both at headquarters and in the field? (b) Are all headquarters and field records covered by approved authorities — (i) General Records Disposal Schedules? (ii) Additional departmental housekeeping records schedules? (iii) Departmental operational records schedules? (c) When were these authorities last reviewed collectively?			

	YES	NO	Otherwise, Remarks
2. Implementation (Cont'd)			
(d) What percentages still remain to be scheduled for – (i) housekeeping records – HQ? (ii) housekeeping records – Field? (iii) operational records – HQ? (iv) operational records – Field?			
(e) Are copies of approved schedules available to staff responsible for applying them at – (i) headquarters? (ii) field offices?			
(f) Are approved schedules kept up-to-date in the form of an operating handbook?			
(g) If so, does the handbook have adequate operating instructions?			
(h) Do field offices have up-dated copies of this handbook?			
3. Physical Disposal			
(a) How is physical disposal of non-security records effected?			
(b) Is this satisfactory?			
(c) If not, why not?			
(d) How are security records destroyed?			
(e) Is this procedure and facility satisfactory?			
(f) If not, why not?			
4. Classification Aids			
(a) Does the subject classification system permit easy disposal of records?			
(b) Does it permit easy withdrawal of permanent retention and policy records from other records?			
(c) If not, why not?			
(d) When records are disposed of, are there then any obstacles to the disposal of obsolete finding aids?			
(e) If so, why?			
(f) If not, how and when are these disposed of?			
(g) Are the numerical control indices endorsed concerning records disposed of?			
(h) If not, why not?			
(i) How long are records concerning disposed records retained?			
5. Economy			
(a) Have controls been established to make optimum use of released equipments in the application of records schedules?			
(b) Have controls been established to make optimum use of released space in the application of records schedules?			

	YES	NO	Otherwise, Remarks
(c) If not, why not?			
(d) If so, is the control effectively applied and who is the responsible officer?			
(e) Are Archives Records Centres used for transfer of dormant records?			
(f) If so, to what extent?			
(g) If not, why not?			
6. Disposal Activity Reports			
(a) Are annual reports of disposal activity forwarded to PAC as required by T.B.615320 of 6 February, 1964?			
(b) If not, why not?			
(c) Does the volume of disposed records tend to balance the annual increment of new records?			
(d) If not, why not?			
7. Archival Interest & Application			
(a) Are archival possibilities kept in view as these pertain to records being examined for authorized disposal?			
(b) Are archival interests kept in mind as these pertain to records being examined for authorized disposal even though this restriction is NOT so specified in the schedules?			
(c) If not, why not?			
(d) Is it possible for the Records Manager to establish a definite list of categories of operational records of his department which should be considered as of possible archival value re that department?			
(e) Have scheduling staff been given an archival familiarization course?			
8. Other Observations			

APPENDIX "E"
TYPICAL RECORDS STORAGE EQUIPMENT CAPACITIES AND SIZES

Equipment Type	Dimension (inches)			Contents	Contents (cubic feet)	Square ft. floor space	Drawers	Remarks
	Length	Width	Height					
Filing Cabinet	28 54 1/2 open	18	51	18000 papers (full) 14400 " average	10 full 8 average	7 open	4	180 lbs. empty
Transfer Cases	25	17	12 1/2	Same as one filing cabinet drawer	2 1/2 full 2 average	7 open	1	25 lbs. empty
Microfilm Cabinet (Kem. Rand)	28 56 open	21 3/4	58 1/4	Size Tray Drawer Cab. 16 mm 30 120 1080 35 mm 17 68 612	10 approx.	8 open	10 (9 in use)	382 lbs. empty 16 mm - 1 microfilm cab. drawer occupies 1 cu. ft. (108 reels) 35 mm - 1 microfilm cab. drawer occupies approx. 1 cu. ft. (60 reels)
Index Card Cabinet (B. K. Johl) 3 x 5	28 53 1/2 open	18	51	Section Drawer Cabinet 2000 6000 60000	5 approx.	7 open	10	250 lbs. empty
Index Card Cabinet (Office Specialty) (posting unit type)	30 58 1/2 open	19 1/4	42	Size Tray Drawer Cab. 3 x 5 1500 7500 37500 4 x 6 1450 5800 29000 5 x 8 1400 4200 21000	4 7 approx. 7	8 open	5	250 lbs. empty 10,000 cards per 1 cubic (PARC Box) 4,000 cards per 1 cubic (PARC Box) 3,000 cards per 1 cubic (PARC Box) Trays are at right angle to drawer
Security Shell	28 1/2 50 1/2 open	23	55 3/4	1 steel 4-drawer filing cabinet.	8	8 open	4	300 lbs. empty
Cardwheel Cabinet (5 wheel) 3 x 5 cards	74	27 1/2	36 1/2	10,000 cards (5 wheels of 2,000 cards per wheel)	5	14		200 lbs. empty
PARC Box	15 1/4	12	10 1/4	1800 sheets of paper	1			20 - 30 lbs.
PARC Microfilm Box	17	9	4	36 reels (16 mm.) 20 reels (35 mm.)	1/3 1/3			(16 mm.) 12 lbs. (35 mm.) 8 lbs.
I.B.M. Box (Punch cards)	17 1/2	8 1/4	15 1/2	10,000 cards. (5 cartons of 2,000 cards)	1 1/2			55 lbs.
Shannon File -long -short	15 1/2 12 1/2	3 1/2 3 1/2	9 1/4 9 1/4		1/3 1/3			6 lbs. 5 lbs.

APPENDIX "F"

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